

ORDER

7010.1J

AIR TRAFFIC EVALUATIONS



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AIR TRAFFIC EVALUATIONS

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FOREWORD

This order provides standardized procedures for evaluating air traffic operational and administrative functions at the national, regional, and facility level within the Federal Aviation Administration (FAA), including FAA contract towers (FCT), non-federal control towers (NFCT), and, when requested, military air traffic facilities.

A handwritten signature in black ink, appearing to read 'J. David Canoles', written in a cursive style.

J. David Canoles
Manager, Air Traffic Evaluations and Investigations Staff

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CHAPTER 1. INTRODUCTION

SECTION 1. GENERAL

1-1-1 . PURPOSE

This order **provides standardized** procedures for evaluating air **traffic** functions at the national, regional, and facility level within the Federal Aviation Administration (FAA), including FAA contract towers (**FCT**), non-federal control towers (**NFCT**), and, when requested, military air **traffic** facilities.

1-1-2. DISTRIBUTION

This order is distributed to the branch level in Washington headquarters, regional air **traffic** offices and the FAA Academy; to the **division** level in the **Office** of System Safety; to the Office of Business Information and Consultation; all air **traffic** field offices and facilities; and all non-Federal/FAA contract tower operators/companies.

1-1-3. CANCELLATION

Order **7010.1H**, Air **Traffic** Evaluations, dated September 1, 1994, is canceled.

1-1-4. EFFECTIVE DATE

This order is effective May 1, 1997.

1-1-5. EXPLANATION OF CHANGES This revision contains the following changes:

Significant changes to the basic order will be published and included in this paragraph. It is advisable to retain the paragraph throughout the duration of the basic order. All **paragraphs** in Order **7010.1J** have been renumbered with a new numbering sequence. The following changes **are** listed with the old paragraph labeled (Old) first followed by the new paragraph number sequence labeled (New). The identification of **7010.1I** (Capital I) was skipped to avoid confusion with the number one (1).

a. (Old) None (New) **1-1-6. DEFINITIONS**. Adds definitions to basic terms used in order.

b. (Old) **2-1.** and **2-2.** (New) **2-1-1. TYPES OF EVALUATIONS**. Incorporates categories of evaluations

into types of evaluations and deletes non-federal control tower (**NFCT**) as a **separate** type. Authorizes the Director of Air **Traffic** (**AAT-1**) and the Manager, Air **Traffic** Evaluations and Investigations **Staff** (**AAT-20**) to extend the time between full-facility evaluations (**FFE**) to 3 years. Other changes are editorial.

c. (Old) **3-1.** and **3-2.** (New) **3-1-1. RESPONSIBILITIES**. Quality Assurance Division responsibilities are incorporated into Evaluations Staff responsibilities. **Reduces the** evaluation planning schedule time requirement from 2 years to 6 months. **AAT-1** or **AAT-20** may authorize the conduct of an evaluation with minimum notification. Requirements in Order **1800.2**, Evaluation and Appraisal of Agency Programs, are no longer applicable to **AAT** and have been deleted. Other changes are editorial.

d. (Old) **3-3.** (New) **3-2-1. RESPONSIBILITIES**. Moves guidance regarding evaluation responses to the newly created Chapter **6**. Clarifies response cycle intervals. Other changes are editorial.

e. (Old) **3-4.** (New) **3-3-1. RESPONSIBILITIES**. See **subparagraph d** above. Also adds requirement for air **traffic** divisions (**ATD**) to retain in-flight/preflight evaluations requiring responses for 1 year and to provide personnel to assist in evaluations when resources permit.

f. (Old) **3-5.** (New) **3-4-1. RESPONSIBILITIES**. Clarifies response cycle intervals for hub facilities.

g. (Old) **3-6.** (New) **3-5-1. RESPONSIBILITIES**. See **subparagraph d** above.

h. (Old) **3-7.** (New) **3-6-1. RESPONSIBILITIES**. See **subparagraph d** above. Also, where possible, FAA contract towers (**FCT**) air **traffic** manager (ATM) responsibilities are aligned with FAA ATM responsibilities.

i. (Old) **3-8.** (New) **3-7-1. RESPONSIBILITIES**. Deletes **NFCT** responsibilities and makes reference to National Proposed Rule Making (**NPRM**) regarding **NFCT's** and the **NFCT** ATM responsibilities.

j. (Old) 4-1. (New) 4-1-1. PREPARATION AND NOTIFICATION. Changes notification requirements. Adds note that authorizes evaluation activity with minimum notification. Other changes are editorial.

k. (Old) 4-2. (New) 4-1-2. INBRIEFING. Change is editorial.

l. (Old) 4-3. (New) 4- 1-3. CONDUCTING THE EVALUATION. Adds provision for regional participation. Adds option to interview employee participation group **(EPG)** representatives. Incorporates **3-year** evaluation cycle retention requirements.

m. (Old) 4-5. (New) 4-1-5. OUTBRIEFING. Change is editorial.

n. (Old) 4-7. (New) 4-2-1. PREPARATION AND NOTIFICATION. See subparagraph j above.

o. (Old) 4-8. (New) 4-2-2. INBRIEFING. Change is editorial.

p. (Old) 4-9. (New) 4-2-3. CONDUCTING THE EVALUATION. Deletes reference to items that were not observed. Clarifies new problem identification during **followup(FUE)** evaluations.

q. (Old) 4-11. (New) 4-2-5. OUTBRIEFING. Change is editorial.

r. (Old) 4-12. (New) 4-3-1. PREPARATION AND NOTIFICATION. See subparagraph j above.

s. (Old) 4-13. (New) 4-3-2. INBRIEFING. Change is editorial.

t. (Old) 4-14. (New) 4-3-3. CONDUCTING THE EVALUATION. Change is editorial.

u. (Old) 4-15. (New) 4-3-4. DAILY BRIEFING. Clarifies daily briefing responsibilities.

v. (Old) 4-16. (New) 4-3-5. OUTBRIEFING. Change is editorial.

w. (Old) 4-18. and 4-23. (New) 4-4-1. PREPARATION AND NOTIFICATION. Combines regional and headquarters evaluation activities.

x. (Old) 4-19. and 4-24. (New) 4-4-2. INBRIEFING. Combines regional and headquarters evaluation activities. Other change is editorial.

y. (Old) 4-20. and 4-25. (New) 4-4-3. CONDUCTING THE EVALUATION. Changes description of regional and headquarters evaluation activities. Other changes are editorial.

z. (Old) 4-21. and 4-26. (New) 4-4-4. DAILY BRIEFING. See subparagraph w above.

aa. (Old) 4-22. and 4-27. (New). 4-4-5. OUTBRIEFING. See subparagraph w above.

bb. (Old) None (New) 4-4-6. EVALUATION CRITIQUE. Adds requirement to use an evaluation critique for headquarters air **traffic** division **(HATD)** and regional air **traffic** division **(RATD)** evaluations.

cc. (Old) 4-28. (New) 4-5-1. PREPARATION AND NOTIFICATION. Change is editorial.

dd. (Old) 4-29. (New) 4-5-2. CONDUCTING THE EVALUATION. Change is editorial.

ee. (Old) None (New) 4-5-3. EVALUATION CRITIQUE. Adds requirement to use an evaluation critique for special evaluations.

ff. (Old) 4-30. (New) 4-6-1. CONDUCTING THE EVALUATION. Clarifies FM/military joint evaluation responsibilities.

gg. (Old) 4-31. (New) None. COORDINATION AND CONDUCT. Deletes redundant paragraph.

hh. (Old) 4-32. (New) 4-7-1. CONDUCTING IN-FLIGHT/PREFLIGHT EVALUATIONS. Refers the reader to associated procedures contained in separate directive.

ii. (Old) 5-1. (New) 5-1-1. COMPLETION. Change is editorial.

jj. (Old) 5-2 and 5-27. (New) 5-2-1. FUNCTIONAL AREAS. Change is editorial.

kk. (Old) 5-3, 5-4, and 5-28. (New) 5-2-2. ITEM CLASSIFICATION. Combines **FCT** evaluation requirements with those for an FAA facility. Changes the term "rating index" to "functional index" (**FI**). Expands the definition of "satisfactory" and "informational". Clarifies the meaning of an observed event. Clarifies the meaning of repeat problems. Adds the provision to include off-checklist problems in the calculation of functional indices. Incorporates problem control number paragraph into item classification paragraph. Other changes are editorial.

ll. (Old) 5-5. (New) 5-2-3. FUNCTIONAL INDICES (**FI**). Deletes conformity index requirements. Explains functional index calculations.

mm. (Old) 5-6 and 5-29. (New) 5-2-4. FORMAT. Deletes conformity index calculation attachment. Other changes are editorial.

m. (Old) 5-7 and 5-30. (New) 5-2-5. DISTRIBUTION OF REPORT. Adds report distribution requirement to appropriate bargaining unit representative. Adds report distribution requirement for **FCT** evaluations.

oo. (Old) 5-8. (New) 5-3-1. ITEM CLASSIFICATION. Clarifies definitions of closed, open, and new items. Changes the term "initial action" to the term "corrective action". Other changes are editorial.

pp. (Old) 5-9. (New) 5-3-2. FORMAT. Change is editorial.

qq. (Old) 5-10. (New) 5-3-3. DISTRIBUTION OF REPORT. See subparagraph **m** above.

rr. (Old) 5-11. (New) 5-4-1. SERVICES EVALUATED. Change is editorial.

ss. (Old) 5-13. (New) 5-4-3. FORMAT. Change is editorial.

tt. (Old) 5-14. (New) 5-4-4. DISTRIBUTION. Change is editorial.

uu. (Old) 5-15., 5-16., 5-17., 5-19., 5-20., and 5-21. (New) 5-5-1. EVALUATED AREAS. Combines regional and headquarters evaluation activities and report formats. Other changes are editorial.

vv. (Old) 5-18. and 5-22. (New) 5-5-2. DISTRIBUTION OF REPORT. Changes report distribution requirements.

ww. (Old) 5-23. (New) 5-6-1. EVALUATED AREAS. Change is editorial.

xx. (Old) 5-24. (New) 5-6-2. DISTRIBUTION OF REPORT. Change is editorial.

yy. (Old) 5-25. and 5-26. (New) 5-7-1. REPORT PREPARATION. See subparagraph **ff** above.

zz. (Old) 5-31. and 5-32. (New) 5-8-1. ITEM CLASSIFICATION. Clarifies report requirements.

aaa. (Old) 5-33. (New) 5-8-2. FORMAT. Change is editorial.

bbb. (Old) None. (New) 6-1-1. FORMAT. Clarifies three-step closure process and associated response requirements.

ccc. Appendix 1, Evaluation Checklists. Incorporates Automated Flight Service Station (**AFSS**), terminal, and **enroute** checklists which were effective March 21, 1997. Incorporates new Combined Center/Radar Approach Control (**CERAP**) checklist.

ddd. Appendix 2, Full-Facility Report Formats. Editorial changes in report formats.

eee. Appendix 3, Followup Report Format. See subparagraph **ddd** above.

fff. Appendix 4, Evaluation Response. See subparagraph **ddd** above. Also adds a phrase regarding previously closed problems.

ggg. Appendix 5, Special Emphasis Items. Changes are editorial.

1-1-6. DEFINITIONS

a. Checklist The **AFSS/FSS**, terminal, **enroute**, and **CERAP** checklists contained in Appendix 1. Checklists are used in the conduct of W-facility evaluations.

b. Commendable. Checklist or off-checklist items that are accomplished in a manner which demonstrates a

commitment to excellence in performance, programs, or quality of service.

c. Corrective action. Any action taken to correct a problem identified in an evaluation.

d. Critique. A manager's assessment and recommendations regarding the evaluation process and evaluator's or evaluation team's performance during an evaluation.

e. Desk audit. A **followup** evaluation (**FUE**) where an evaluator does not visit the facility. It may include telephone interviews and/or tape and documentation submissions to the Air Traffic Service (**AAT**).

f. FAA contract tower (FCT). A visual flight rules (**VFR**) air traffic control tower (**ATCT**) providing air traffic control (**ATC**) service under **contract** with the FAA.

g. Followup action. Measures taken to ensure that **corrective** actions were effective and that the problem has not **recurred**.

h. Followup evaluation (FUE). **FUE's** are conducted to ensure that problems identified during **FFE's** are **corrected**.

i. Full-facility evaluation (FFE). **FFE's** are assessments of a facility's overall performance in operations, training, quality control, **administration**, and areas of special emphasis.

j. Functional area. One of four areas evaluated during a **FFE**. The four functional areas are operations, training, quality control, and administration.

k. Functional index (FI). A numerical percentage that represents the facility's compliance with items evaluated in each functional area.

l. In-flight/preflight evaluation. **In-flight/preflight** evaluations are an assessment of the services provided by air traffic facilities. They are conducted by authorized

evaluators, quality assurance specialists, and other authorized headquarters, and division personnel using air carrier, agency, military, or rental aircraft, and by telephone or in person.

m. Informational. Items that **are** of interest to offices receiving an evaluation report

n. Management control. A process or procedure implemented to prevent problem recurrence.

o. Not applicable (N/A). Checklist items that do not apply to the facility being evaluated.

p. Not observed (N/O). Checklist items that apply to the facility, but which could not be **observed** during a **FFE**.

q. Non-federal control tower (NFCT). An **ATCT** that is **operated** by a company or municipality and not funded by the FAA.

r. Off-checklist. Assessed Items that are not specifically identified on a checklist. These items can be rated as commendable, informational, or problem.

s. Problem. Items identified that are in contradiction to national, regional, hub, or facility directives. **Also**, an items not governed by specific **references**, but which clearly **affect** performance, programs, quality of service, or efficiency.

t. Questionable. An occurrence or condition, on an in-flight/preflight evaluation report, which may **warrant further** investigation.

u. Repeat problem. Repeat problems are problems identified during consecutive **AAT FFE's**.

v. Special emphasis items (SEI). Specific items requested by various organizations to be assessed during the evaluation process as prescribed in Appendix 5.

CHAPTER 2. EVALUATIONS

SECTION 1. TYPES OF EVALUATIONS

2-1-1. TYPES OF EVALUATIONS

There are seven types of evaluations:

a. Full-facility evaluations (FFE), conducted either internally or by **AAT**, are assessments of a facility's overall performance in operations, training, quality control, administration, and areas of special emphasis. These evaluations will normally be performed once every 2 years at each air **traffic** facility. **FFE's** shall include, as a minimum, the checklist items identified in Appendix 1. The checklists may be supplemented by headquarters **offices**, regional offices, and field facilities to include additional items pertinent to the facility.

NOTE: The **2-year** interval between **AAT** full-facility evaluations may, at the discretion of **AAT-1** or **AAT-20**, be extended to a maximum of 3 years.

b. Followup evaluations (FUE) are conducted to ensure that problems detected during **FFE's** are **corrected**. **FUE's** shall be conducted through an **onsite** evaluation, desk audit, or a combination of the two. These evaluations will be conducted no earlier than 6 months nor later than 1 year **after** the date of the **FFE** report, or as determined by **AAT-20**.

c. Unscheduled evaluations may be conducted at the discretion of **AAT-1** or **AAT-20**. **They** may manifest themselves as **FFE's**, **FUE's**, or evaluation of singular issues, e.g., checklist items, special emphasis items, etc.

d. In-flight/preflight evaluations are assessments of the services provided by air **traffic** facilities. They are conducted by authorized evaluators/quality assurance specialists and other authorized headquarters and division personnel using air carrier, agency, military, or rental **aircraft**, and by telephone or in person. In-flight evaluations, conducted in agency and rental **aircraft**, are the primary means of testing the agency's emergency assistance capabilities. These aircraft are used to simulate emergency situations such as lost aircraft, low fuel, engine failure, loss of instruments, etc., to evaluate the facility's proficiency in handling the simulated emergency. In-flight evaluations include assessment of the application of programs, procedures, communications, and flight assistance. Each **facility** should be evaluated twice a year.

e. Headquarters/Regional Air Traffic Division (HATD/RATD) evaluations shall encompass all division activities. These evaluations shall be conducted at the discretion of **AAT-1**.

f. Special evaluations cover specific areas or programs as directed by **AAT-1** or as requested by a headquarters or regional office.

8 FAA/military joint evaluations shall be conducted in accordance with the procedures contained in the latest edition of Order 7610.4, Special Military Operations.

CHAPTER 3. RESPONSIBILITIES

SECTION 1. AIR TRAFFIC EVALUATIONS AND INVESTIGATIONS STAFF, AAT-20

3-1-1. RESPONSIBILITIES

a. Prepare and distribute the following to **AAT-1**; Washington **headquarters Air Traffic** program directors; and all **RATD's**:

(1) A **6-month** planning schedule of all evaluation activities.

(2) A revised quarterly schedule of all evaluation activities at least **30** days prior to the beginning of each quarter.

NOTE: At the discretion of **AAT-1** or **AAT-20**, **AAT** may conduct an evaluation **with** minimum notification.

b. Conduct evaluations by area of responsibility identified in Figure **3-1-1** or as directed by **AAT-20**.

NOTE: The Air Traffic Evaluations **Staff (AAT-24)** shall be responsible for evaluations at Anchorage Center (**ZAN**), Anchorage Tower/TRACON (**ANC/A11**), and all Alaskan **region (AAL)** automated flight **service** stations (**AFSS**). The Alaskan Region **ATD (AAL-500)** shall conduct all other **AAL FFE and FUE's within the AAL region**.

c. Ensure that in-flight/preflight evaluations are conducted by **authorized** personnel and in accordance with Chapter 4 of this order, Order **7000.4**, Use of FAA Form **7000-5**, Request for Access to Aircraft or Free Transportation, and Order **7010.6**, Air **Traffic** Evaluation Credentials.

d. Upon request, provide assistance for **problem** resolution or service improvements based upon the **evaluator's** knowledge of effective programs or **procedures** used at other facilities or offices.

e. Track the status of all problems **identified in** facility evaluations based on **correspondence** provided by the **AAT-20** branch that conducted the evaluation.

f. Assign action to the appropriate office of **primary** responsibility (**OPR**) in headquarters when a **headquarters** problem is identified during an evaluation. **AAT-20 personnel** will **extract** the complete details of the problem **from** the evaluation report and those details will be **incorporated** into an action memorandum to the **OPR**. Deadline for initial response to **AAT-20** is **60** days **from** the date the **memorandum** is signed.

g. Review the responses received as a result of an evaluation and determine if **appropriate** action was taken to close the problem, or if the problem remains open, review pending action taken by the **office** or facility evaluated. If **AAT concurs** with closure, they will so indicate in the data base and provide closure notification. **The AAT-20** branches will be notified by **AAT-20** of the action taken. If the **problem** remains open, **AAT** will continue to **track the problem** with the office or **facility** until it is **closed**.

h. Distribute quarterly reports **indicating** the status of problems identified in **facility evaluations**.

EVALUATION STAFF AREAS OF RESPONSIBILITY



3-1-2



AAT-24



AAT-23



AAT-25



AAT-22

Figure 3-1-1 AAT-20 Areas of Responsibility

SECTION 2. HEADQUARTERS AIR TRAFFIC DIVISION MANAGERS

3-2-1. RESPONSIBILITIES

a. Prepare a written response on action taken to correct all problems identified by **AAT** in headquarters air traffic division (**HATD**) evaluations. The initial response shall be forwarded for receipt by **AAT-20** no later than **60 days after** the date of the report. Subsequent responses shall be **forwarded** for receipt by **AAT-20** at **90-day** intervals, the first being no later than **150 days** after the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter **6**.

b. Complete the critique form supplied by the lead evaluator at the exit briefing within **10** workdays following the **HATD** evaluation. Forward the original to **AAT-20**, with a copy to the **AAT** branch that was the lead for the evaluation.

c. If designated as the **OPR** for a headquarters problem that was identified during an evaluation at a field facility, prepare a written response describing action taken to resolve the problem. The initial response shall be forwarded to **AAT-20** so as to be received no later than **60 days** after the date of the report. Subsequent responses shall be forwarded for receipt by **AAT** at **90 day** intervals, the **first** being no later than **150 days after** the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter **6**.

SECTION 3. REGIONAL AIR TRAFFIC DIVISION MANAGERS

3-3-1. RESPONSIBILITIES

a. Review the written response from hub and field facility managers addressing the action taken to **correct** all problems identified in **FFE's** and **FUE's**. Prepare a written endorsement indicating concurrence or nonconcurrence with facility action to correct problems. The initial response and endorsement shall be forwarded to the **AAT branch** that was the lead for the evaluation for receipt no later than **60** days after the date of the report. Subsequent responses shall be forwarded for receipt by **AAT** at **90** day intervals, the **first** being no later than **150** days after the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter 6.

b. For regional problems, prepare a written response **identifying the** action taken to correct problems which were identified during **FFE's** and **FUE's** that require regional action/resolution. The initial response shall be forwarded to the appropriate **AAT** branch so as to be received no later than **60** days after the date of the report. Subsequent responses

shall be forwarded so as to be received by **AAT** at **90** day intervals, the first being no later than **150** days after the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter 6.

c. Review the written response from facility managers on the action taken to address problems or questionable items identified on in-flight/preflight evaluations which require a response. Prepare a written endorsement indicating concurrence or nonconcurrence with facility actions. The original copy of the initial response and endorsement shall be **forwarded** to the **AAT branch** having evaluation responsibility for receipt no later than **30** workdays after the **date** of the evaluation report.

d. Retain a copy of any in-flight/preflight evaluation report that requires a response and a **copy** of the response for 1 year.

e. When resources permit, provide personnel to participate in evaluations.

SECTION 4. AIR TRAFFIC HUB MANAGERS

3-4-1. RESPONSIBILITIES

a. Assist the ATM in the conduct of internal evaluations, the preparation of the facility's quality assurance directive, and the implementation of the facility's quality assurance program.

b. Prepare a written response identifying action taken to correct problems which were identified during FFE's and FUE's that require hub action/resolution. The

initial response shall be forwarded through the RATD to AAT for receipt no later than 60 days after the date of the report. Subsequent responses shall be forwarded for receipt by AAT at 90 day intervals, the first being no later than 150 days after the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter 6.

c. Forward responses to AAT evaluations received from facilities within the hub to the RATD for receipt no later than 45 days after the date of the evaluation report

SECTION 5. AIR TRAFFIC FACILITY MANAGERS

3-5-1. RESPONSIBILITIES

a. By written directive, establish a program to maintain and **analyze resource** management data according to the methods described in Appendix 6 of this order. This resource management data shall be retained in the facility and made available for review by **AAT evaluators** at the next **FFE**.

b. Conduct an internal **FFE** within 1 year of the most recent **AAT FFE**. While preferred, it is not **mandatory that** an entire facility be **internally** evaluated at one time. Facility managers may elect to evaluate various elements or departments or use various sections of the checklist at **different** times. However, the entire facility shall be included in the evaluation process using the complete checklist in Appendix 1, applicable to the type of facility being evaluated. Hub managers may assist or conduct evaluations at satellite facilities to satisfy this requirement. The report of an internal **FFE** shall be prepared in accordance with the format in Appendix 2, Full-Facility Evaluation Report Format. The internal report shall be made available to the **AAT** evaluators at the next **FFE**.

c. Prepare a written response, in accordance with the procedures in Chapter 6 and the format in Appendix 4, on

action(s) taken to correct all problems identified during internal full-facility, **AAT FFE's**, and **FUE's**. The original copy of the response to problems identified during evaluations conducted by **AAT** evaluators shall be forwarded through the hub to the **RATD** for receipt no later than **45** days **after** the date of the evaluation report. Subsequent responses shall be forwarded for receipt by **MT** at **90** day **intervals**, the **first** being no later than **150** days **after** the date of the report. Responses to the internal reports **shall be** retained and made available to **AAT** evaluators at the next **FFE**.

d. Prepare a written response to in-flight/preflight evaluations requiring a reply. Forward the original response through the hub to the **RATD**.

e. When resources permit, provide personnel to participate in evaluations.

f. Within **10** workdays following the **AAT FFE**, complete the critique form supplied by the lead evaluator. **Forward** the original to the **AAT** branch that conducted the evaluation and a copy to **AAT-20**.

g. Provide a copy of the **FFE** and **FUE** reports to the bargaining unit representative in accordance with negotiated labor agreements.

SECTION 6. FAA CONTRACT TOWER (FCT) FACILITY MANAGERS

3-6-1. RESPONSIBILITIES

a. An internal FFE shall be completed within 1 year of the most recent AAT FFE. While preferred, it is not mandatory that an entire facility be internally evaluated at one time. ATM's may elect to evaluate various elements or use various sections of the checklist at different times. However, the entire facility shall be included in the evaluation process using the complete checklist in Appendix 1, applicable to the type of facility being evaluated. Hub managers may assist or conduct evaluations at satellite facilities to satisfy this requirement. The report of an internal FFE shall be prepared in accordance with the format in Appendix 2. The report shall be made available to evaluators at the next AAT FFE.

b. Prepare a written response, in accordance with the procedures in Chapter 6 and the format in Appendix 4, on action(s) taken to correct all problems identified during internal FFE's, AAT FFE's, and FUE's. The original copy of the response to problems identified during evaluations

conducted by AAT evaluators shall be forwarded through the hub to the RATD for receipt no later than 45 days after the date of the evaluation report. Subsequent responses shall be forwarded so as to be received by AAT at 90 day intervals, the first being no later than 150 days after the date of the report. Responses to the internal reports shall be retained and made available to evaluators at the next AAT FFE.

c. Prepare a written response to in-flight/preflight evaluations requiring a reply. Forward the original response through the hub to the RATD, and send a copy to the AAT branch having evaluation responsibility no later than 20 workdays after the date of the in-flight/preflight evaluation report

d. Within 10 workdays following the AAT FFE, complete the critique form supplied by the lead evaluator. Forward the original to the AAT branch that conducted the evaluation and a copy to AAT-20.

SECTION 7. NON-FEDERAL CONTROL TOWER(NFCT) FACILITY MANAGERS

3-7-1. RESPONSIBILITIES

a. The FAA is in the process of preparing a notice of proposed rulemaking (NPRM) which contains the responsibilities associated with the facility manager's position at an NFCT. The NPRM has not yet been circulated for comments by interested persons.

b. Until the NPRM has completed the rulemaking process, AAT evaluators will continue to conduct FFE's at NFCT's in accordance with the procedures contained in Appendix 1.

CHAPTER 4. CONDUCT OF EVALUATIONS

SECTION 1. FULL-FACILITY EVALUATIONS

4-1-1. PREPARATION AND NOTIFICATION

AAT will normally advise the appropriate **RATD** and the facility manager in writing at least **30** days prior to conducting an evaluation. This notification may request information for **pre-evaluation** review and will solicit special interest topics for assessment. Preparation by **AAT** may include distribution of questionnaires, contacting the Administrator's Hotline, civil rights, adjacent air **traffic** control facilities, and obtaining Aviation Safety Reports. Advance notification of the scheduled evaluation to facility personnel is requested.

NOTE: At the discretion of **AAT-1** or **AAT-20**, **AAT** may conduct a **FFE** with minimum notification.

4-1-2. INBRIEFING

The lead evaluator shall meet with the **facility** manager or designated representative as soon **as** possible after arrival to conduct an inbriefing. Introduction of team members, evaluation schedule, and activities will be discussed at this time.

4-1-3. CONDUCTING THE EVALUATION

Evaluators (with assistance from available union, facility, regional and/or headquarters personnel) will conduct the **FFE** through the following methods: Direct observation, position and/or tape monitoring **attendance** at personnel meetings, observation of training activities, review of administrative records, interviews, and a review of **in-flight**/preflight evaluation reports. Interviews will normally

be conducted with managers, supervisors, union representatives, staff specialists, employee participation **group (EPG) chairpersons/representatives**, and other facility personnel **who** volunteer. In addition, representatives **from** adjacent air **traffic** facilities, other FAA offices, and system users may be interviewed.

NOTE: Evaluators will review documentation dating back to the most recent **AAT FFE** or the **2-year** period preceding the evaluation, whichever is later.

4-1-4. DAILY BRIEFING

The lead evaluator will normally provide the facility manager or designated representative with a daily briefing on the progress of the evaluation.

4-1-5. OUTBRIEFING

The facility manager or designated representative shall be briefed on the **evaluator's/team's** findings at the conclusion of the evaluation. Attendance by facility personnel at the outbriefing is encouraged. A **draft copy** of the evaluation report will be provided to the manager at this time, or as soon **thereafter as** practical.

4-1-6. EVALUATION CRITIQUE

The lead evaluator shall provide an evaluation critique form to the facility manager prior to departing the facility. Comments received **from** the facility manager will be used to review the performance of the team and improve the evaluation process.

SECTION 2. FOLLOWUP EVALUATIONS

4-2-1. PREPARATION AND NOTIFICATION

a **AAT** will normally advise the appropriate **RATD** and facility manager in writing at least **30** days prior to conducting the evaluation. The notification shall specify whether the **FUE** will be conducted **onsite**, through a desk audit, or a combination of the two. Advance notification of the scheduled evaluation to facility personnel is requested.

b. The facility manager may be requested to provide data for **pre-evaluation** review.

NOTE: At the discretion of **AAT-1** or **AAT-20**, **AAT** may conduct a **FUE** with minimum **notification**.

4-2-2. INBRIEFING

The lead evaluator shall meet with the facility manager or designated representative as soon as possible **after** arrival to conduct an **inbriefing**. Introduction of team members, evaluation schedule, and activities will be discussed at this time.

4-2-3. CONDUCTING THE EVALUATION

a Evaluators will review documented actions taken by the facility manager to **correct** problems identified in the

previous **FFE** report. When applicable, this process may include the following: Direct observation, position and/or **tape monitoring**, **attendance** at personnel meetings, observation of training activities, review of administrative records, interviews, and a review of in-flight/preflight evaluation reports.

b. **Followup** activities will not preclude evaluators from **identifying new** problems when, and if, they are observed during the **FUE** process.

4-2-4. DAILY BRIEFING

The **lead evaluator** will normally provide the facility manager or designated representative with a daily **briefing** on the progress of the evaluation.

4-2-5. OUTBRIEFING

The facility manager or designated representative shall be briefed on the **evaluator's/team's findings** at the conclusion of the evaluation. A **draft copy** of the **FUE** report **will** be provided to the manager at this time, or as soon **thereafter** as **practical**.

SECTION 3. FAA CONTRACT TOWER

4-3-1. PREPARATION AND NOTIFICATION

AAT will normally advise the facility manager in writing at least **30** days prior to conducting an evaluation. This notification may request information for **pre-evaluation** review and will solicit facility topics for assessment. Preparation by **AAT** may include distribution of questionnaires and obtaining Aviation Safety Reports. Advance **notification** of the scheduled evaluation to facility **personnel** is requested.

NOTE: At the discretion of **AAT-1** or **AAT-20**, **AAT** may conduct an evaluation at a facility with minimum notification.

4-3-2. INBRIEFING

The lead evaluator shall meet with the facility manager or designated representative as soon as possible **after** arrival to conduct an **inbriefing**. Introduction of team members, evaluation schedule, and activities will be discussed at this time.

4-3-3. CONDUCTING THE EVALUATION

Evaluators (with assistance **from** available facility and/or regional personnel) will conduct the evaluation through the following methods: Direct observation, position and/or tape

monitoring, attendance at personnel meetings, **observation** of training activities, review of administrative records, and interviews. Interviews will normally be conducted with managers, and other facility personnel who volunteer. In addition, representatives **from** adjacent air **traffic** facilities, other FAA offices, and system users may be interviewed.

4-3-4. DAILY BRIEFING

The lead evaluator will normally provide the facility manager or designated representative a daily briefing on the progress of the evaluation.

4-3-5. OUTBRIEFING

The facility manager or designated representative shall be briefed on the **evaluator's/team's** findings at the conclusion **of the** evaluation. A **draft copy** of the evaluation report will be provided to the facility manager at this time, or as soon thereafter as **practical**.

4-3-6. EVALUATION CRITIQUE

The lead evaluator shall provide an evaluation critique form to the facility manager prior to departing the facility. Comments received **from** the facility manager will be used to review the performance of the team and improve the evaluation process.

SECTION 4. HEADQUARTERS/REGIONAL AIR TRAFFIC DIVISION

4-4-1. PREPARATION AND NOTIFICATION

a. **AAT** shall advise **AAT-1**, the regional administrator, headquarters program director, the **HATD/RATD** manager, as appropriate, in writing at least **60** days prior to conducting the evaluation. This notification will include a request for special emphasis topics for assessment.

b. Evaluators shall coordinate with the appropriate **headquarters** and regional elements to obtain information on specific **areas** to be assessed.

4-4-2. INBRIEFING

The lead evaluator shall meet with the **HATD/RATD** manager or designated representative as soon as possible **after arrival** to conduct an inbriefing. Introduction of team members, evaluation schedule, and activities will be discussed at this time.

4-4-3. CONDUCTING THE EVALUATION

Evaluators shall conduct the **HATD/RATD** evaluation of division activities, **functional** statements, special projects, and user relationships. Items evaluated will be specifically

tailored for the division. The division may request special issues for the team to address. Sixty days prior to the review the division will be notified regarding the issues and areas which will be addressed during the evaluation.

A. DAILY BRIEFING

The lead evaluator will normally **provide** the **HATD/RATD** manager or designated representative with a daily **briefing** on the progress of the evaluation.

4-4-5. OUTBRIEFING

The **HATD/RATD** manager or designated representative shall be briefed on the team's findings at the conclusion of the evaluation. A **draft copy** of the evaluation report will be provided to the manager at this time, or as soon **thereafter** as practical.

4-4-6. EVALUATION CRITIQUE

The lead evaluator shall provide an evaluation critique form to the **HATD/RATD** manager prior to departing the division. Comments received from the manager will be used to review the performance of the team and improve the evaluation process.

SECTION 5. SPECIAL EVALUATIONS

4-5-1. PREPARATION AND NOTIFICATION

a. AAT-20 shall coordinate with appropriate elements to obtain information on the specific areas or programs to be evaluated.

b. Notification should be made at the discretion of AAT-20 in concert with the requester.

4-5-2. CONDUCTING THE EVALUATION

The inbriefing, conduct of the evaluation, and outbriefing will be at the discretion of AAT and the requesting office.

4-5-3. EVALUATION CRITIQUE

Prior to departing, the lead evaluator shall provide an evaluation critique form to the manager. Comments received from the manager will be used to review the performance of the team and improve the evaluation process.

SECTION 6. FAA/MILITARY JOINT EVALUATIONS

4-6-1. CONDUCTING THE EVALUATION

FAA/Military joint evaluations shall be conducted in accordance with the procedures contained in Order 7610.4, Special Military Operations.

SECTION 7. IN-FLIGHT/PREFLIGHT EVALUATIONS

4-7-1.CONDUCTINGIN-FLIGHT/PREFLIGHT EVALUATIONS

These evaluations shall be conducted in accordance with the procedures contained in Chapter 5, Section 4, of this order and FAA Order 7010.6.

CHAPTER 5. EVALUATION REPORTS

SECTION 1. GENERAL

5-1-1. COMPLETION

The results of all evaluations shall be promptly documented and reported to ensure that headquarters and regional **offices** remain fully **informed** regarding the effectiveness of the air **traffic** system. All evaluation reports, except in-flight and preflight evaluation reports, should be completed and

distributed within **20** days after completion of the evaluation. Applicable in-flight/preflight evaluation reports should be completed and distributed to ensure receipt at the facility within **15** calendar days of the evaluation. When this is not possible, evaluators shall notify the appropriate air traffic division so that pertinent tapes and records may be retained.

SECTION 2. FULL-FACILITY EVALUATION REPORT

5-2-1. FUNCTIONAL AREAS

FFE reports shall contain and reflect the results of the evaluation pertaining to the four functional areas and the assessment of designated special emphasis items.

5-2-2. ITEM CLASSIFICATION

a. Commendable. Checklist or off-checklist items that are accomplished in a manner which demonstrates a commitment to excellence in performance, programs, or quality of service. Commendable items are considered as "satisfactory" when calculating the **FI**.

b. Satisfactory. Satisfactory items are those checklist items that comply with standards and meet the needs of the system user. These **are** included in the calculation of the **FI** for field facilities, but are not addressed individually in the evaluation report.

c. Informational. Items that are of interest to offices receiving the report Informational items may include:

(1) Checklist items that are considered satisfactory in the calculation of the **FI** but need to be addressed in the report.

(2) Of&checklist items that may be of interest to the reader of the report: e.g., observed events.

NOTE: An observed event identifies a situation witnessed by a member of the evaluation team and determined by the team to be significant. Observed events shall be documented as "informational" in the evaluation report.

d. Problem.

(1) Problem items are those:

(a) Items identified that are in contradiction to national, regional, hub, or facility directives. The specific

reference shall be noted at the end of each problem description.

(b) Items not governed by specific references, but which clearly and negatively **affect performance**, programs, quality of service, or efficiency.

(c) Items identified as hub, regional, or national in scope, the resolution of which requires action above the facility level.

(2) The following guidelines apply for each item classified as a problem:

(a) Repeat Problems. Repeat problems are problems identified during consecutive **AAT FFE's**. At FAA facilities, in addition to the facility problem, **AAT** evaluators may include a hub or regional off-checklist problem under the quality control portion of the evaluation report which deals directly with the repeat problem issue. Each repeat problem control number will be identified in this off-checklist problem. Should the problem continue to exist during the next evaluation, evaluators may elevate it to a hub, regional or, with **AAT-20's** concurrence, to a headquarters problem.

NOTE 1: Problems requiring action by the hub facility, regional office, or national headquarters shall be identified by a control number extension as indicated by Figure 5-2-1. These problem items are included in **FI** calculations.

NOTE 2: Special emphasis items assessed during the evaluation shall be excluded **from FI** calculations unless the item(s) **appears** in the checklists in Appendix 1.

(b) **Off-Checklist Problem.** Occasionally **evaluators** will observe an item in an area not specifically identified in the checklist. The evaluation team will denote the item in the report, **identifying** it as an off-checklist item. Of&checklist problems will be included in the **FI**.

(3) Problem Control Numbers. Control numbers shall be assigned to all problems in each functional area of the report. The control number shall be identified as follows:

<i>97-C-RLC-016-R</i>
"97" designates year
"C" designates the type of facility: C=ARTCC, T=Terminal, S=CERAP, F=AFSS/FSS
"RLC" designates the facility identifier
"016" designates the problem number
"R" designates Region H=Hub and W=Headquarters

Figure 5-2-1. Problem Control Numbers

e. Not Applicable. Checklist items that do not apply to the facility being evaluated are considered not applicable. These items are not used in the calculation of the **FI**.

f. Not Observed. Checklist items that apply to the facility, but which could not be observed; e.g., absence of specific events, weather phenomena, etc., may be considered not observed. An item considered not observed will not be used in the calculation of the **FI**. Not observed items are normally discussed with facility personnel to determine knowledge of the item. If a satisfactory response is received, the **item** shall be identified as satisfactory. If a satisfactory response is not received, the item may then be identified as a problem.

5-2-3. FUNCTIONAL INDICES (FI)

a. The **FI** for each functional area is an indication of a facility's compliance with those items evaluated which are applicable to the type and level of the facility being evaluated.

b. To determine **FI**'s for each **area**, subtract the number of problems from the number of items evaluated

within each functional **area**. Divide the result by the number of items evaluated for that **area**. This result is the **FI** for **that area**.

5-2-4. FORMAT

a. To the maximum extent possible, reports should be written in the past tense and in accordance with the format in Appendix 2.

b. Executive summaries shall be prepared for all **AAT FFE**'s of air route **traffic control centers**, Level IV and V terminals, automated flight service stations, and other selected facilities as determined by **AAT-20**. The purpose of the executive summary is to identify significant items and synopsize the overall status of the evaluated facility.

c. Certain items, as deemed necessary, shall be included in the report as **attachments**.

5-2-5. DISTRIBUTION OF REPORT

The **AAT FFE** report shall be distributed as follows:

a. Original to the **RATD** manager.

b. One copy to **AAT-20**.

c. One copy to the hub manager.

d. One copy to the ATM.

e. One copy to the bargaining unit representative.

f. One copy to the **Manager**, FAA Contract Tower Program, **ATO-310** (for **FCT**'s only).

g. One copy to contracting company/operator (for **FCT**'s only).

SECTION 3. FOLLOWUP EVALUATION REPORT

5-3-1. ITEM CLASSIFICATION

Items in the **FUE** report shall be classified as closed, open, or new. All problems identified during the last **AAT FFE** shall be addressed in this report. Each problem listed shall contain a problem control number and title followed by a description or explanation of findings.

a. Closed Items. Items closed during the response process and those items closed during the **FUE** shall be documented in accordance with Appendix 3. Items can be considered closed when the following three steps have been completed and documented in the **FUE** report and the problem can no longer be detected:

(1) Corrective action;

(2) **Followup** measures taken to sure resolution of the problem;

(3) Management control(s) to prevent recurrence.

b. Open Items. A problem shall be considered open when one or more of the aforementioned steps has not been accomplished and/or the problem can still be detected. Problems which have been closed during the response process may be reopened if detected during the **FUE**.

(1) Each open item shall be addressed in the evaluation report with an explanation as to why it remained open.

(2) When previously closed problems are reopened during the **FUE**, the original problem control number shall be reassigned for tracking.

c. New Items. New items may be rated as commendable, informational, or problem. The control number of each new problem shall begin with the calendar year in which the **FFE** was conducted and begin where the previous problem **left** off.

5-3-2. FORMAT

To the maximum extent possible, reports should be written entirely in the past tense and in accordance with Appendix 3.

5-3-3. DISTRIBUTION OF REPORT

The **FUE report** shall be distributed as follows:

a. Original to the **RATD** manager.

b. One copy to **AAT-20**.

c. One copy to the hub manager.

d. One copy to the **ATM**.

e. One copy to the local bargaining unit representative.

f. One copy to the Manager, FAA Contract Tower Program, **ATO-310** (for **FCT** only).

SECTION 4. IN-FLIGHT/PREFLIGHT EVALUATION REPORT

5-4-1. SERVICES EVALUATED

a. The following service areas shall be assessed, where applicable, during an in-flight/preflight evaluation:

- (1) Preflight briefing
- (2) Airport advisory
- (3) In-flight
- (4) Clearance delivery
- (5) Automatic Terminal Information Service
- (6) Ground
- (7) Local
- (8) Departure
- (9) Approach
- (10) En route
- (11) Other (as deemed appropriate)

b. Applicable in-flight/preflight evaluation reports should be completed and distributed to ensure receipt at the facility within 15 calendar days of the evaluation. When this is not possible, evaluators shall notify the appropriate ATD so that tapes may be retained.

5-4-2. RATING CLASSIFICATION

Rate services provided on each frequency and/or position evaluated as:

a. **COMMENDABLE.** This rating includes specific examples of services that exceed the expected performance.

b. **QUESTIONABLE.** This rating includes an occurrence or condition which may warrant further investigation.

c. **INFORMATIONAL.** The services provided met requirements. Comments may be added if deemed appropriate.

d. **PROBLEM.** This rating includes specific examples where services were not in accordance with directives. Deficiencies shall be annotated with the appropriate order and paragraph reference.

5-4-3. FORMAT

a. In-flight/preflight evaluation reports shall be recorded on FAA Form 7010-1, In-flight/Preflight Evaluation, or the AAT-20 approved computer facsimile. The instructions in this paragraph shall be used when completing the form.

(1) Block 1. To: The ATM of the facility evaluated.

(2) Block 2. Facility Evaluated: The name, identifier, and type facility evaluated.

(3) Block 3. Region

(4) Block 4. Evaluation Date

(5) Block 5. Aircraft Identification

(6) Block 6. IFR or VFR

(7) Block 7. Route of Flight: As a minimum, the departure and destination airports.

(8) Block 8. Service Evaluated: Place an "X" in the box next to the applicable items.

(9) Block 9. Rating of Service: Rate services provided on each frequency and/or position that is evaluated in terminals, ARTCC's, and AFSS/FSS's as commendable, questionable, informational, or problem.

(10) Block 10. Reply Requested: Check appropriate block.

(11) Block 11. We, Office, and Phone Number: The evaluator's title, office address, and phone number (including area code).

(12) Block 12. Signature and Date: Signature of person conducting the evaluation and date the evaluation report was signed.

5-4-4. DISTRIBUTION OF REPORT

a. In-flight/preflight evaluation reports that contain ratings classified as commendable, questionable, or problem are distributed as follows:

(1) Original to the ATM.

(2) One copy to the RATD manager.

(3) One copy to the AAT field office having evaluation responsibility.

(4) One copy retained by the originating office.

b. Reports that contain only informational ratings shall be distributed as follows:

(1) One copy to the AAT field office having evaluation responsibility.

(2) One copy retained by the originating office.

NOTE : Reports that contain only informational ratings, but are determined by the evaluator to be significant or beneficial to the facility, should be distributed in accordance with paragraph 5-4-4.a.

c. AAT-20 branches and RATD offices shall submit the following within 10 work days of the end of each quarter:

(1) A quarterly summary of their office's credential usage to AAT-20. The report shall include the number of trips taken by each credential holder and the number of frequencies monitored.

(2) A 3 ½ inch floppy disk to AAT-21 containing the branch flight monitor report (BFMR) program for all in-flight/preflight evaluation reports conducted during the quarter.

SECTION 5. HATD/RATD EVALUATION REPORT

5-5-1. EVALUATED AREAS

The report shall detail items such as division activities, functional statements, special projects, and user relationships assessed during the evaluation. The **HATD/RATD** evaluation report may include attachments to summarize meaningful data such as responses to **pre-evaluation** questionnaires, leave analysis statistics, and staffing data.

5-5-2. DISTRIBUTION OF REPORT

- a. **Original to AAT-1.**
- b. One copy to the **HATD/RATD** manager.

SECTION 6. SPECIAL EVALUATION REPORT

5-6-1. EVALUATED AREAS

Evaluated areas, item classification, and report format for a special evaluation will be determined by **AAT** and the **office** manager that requested the evaluation.

5-6-2. DISTRIBUTION OF REPORT

- a. Original to the office manager that requested the special evaluation.
- b. One copy to **AAT-20**.
- c. Headquarters distribution as required.

SECTION 7. FAA/MILITARY JOINT EVALUATION REPORT

5-7-1. REPORT PREPARATION

The report shall be prepared in accordance with the procedures in Order 7610.4, Special Military Operations.

SECTION 8. NFCT EVALUATION REPORT

5-8-1. ITEM CLASSIFICATION

Every item on the **NFCT** checklist in Appendix 1, Section 5, shall be assessed and addressed in the narrative of the **NFCT** evaluation report.

5-8-2. FORMAT

The **NFCT** evaluation report shall be written, to the maximum extent possible, in past tense and formatted in accordance with Appendix 2, Section 3.

5-8-3. DISTRIBUTION OF REPORT

- a. Original to the **RATD** manager.
- b. One copy to the facility manager.
- c. One copy to the private company or operator.

CHAPTER 6. RESPONSES

6-1-1. FORMAT

a. Responses to all evaluation reports shall be completed in the format contained in Appendix 4.

b. Actions taken to correct all problems shall contain the following three elements:

(1) Corrective action: Any action taken to correct the problem.

(2) **Followup** action: Measures taken to ensure that corrective actions were effective and that the problem has not recurred. **Followup** actions shall continue until the problem can no longer be detected.

(3) Management control: A process or procedure implemented to prevent problem recurrence.

NOTE: At a minimum, the corrective action must be completed, **followup** accomplished, and management control implemented prior to problem closure. There are infrequent occasions when all three steps are not necessary, primarily for problems that are administrative in nature.

c. The facility will indicate, **after** each problem, whether it considers the problem open or closed.

APPENDIX 1. EVALUATION CHECKLISTS

In addition to the items identified on the checklists in this appendix, evaluators will check facility compliance with regional and/or local directives or supplements, letters of agreement (**LOA**), letters of procedure, and special emphasis items (requested by headquarters or regional offices). These checklists shall be used as minimum guidance in preparing for and conducting evaluations.

Since the checklists are comprehensive and make reference to a wide range of directives, it is difficult to ensure that each reference reflects the most current change. Although an effort is made **to continually** review and update the checklists, evaluators are cautioned to refer to current publications for the most accurate information.

SECTION 1: AFSS/FSS CHECKLIST

SECTION 2: TERMINAL CHECKLIST

SECTION 3: EN ROUTE CHECKLIST

SECTION 4: COMBINED CENTER/RADAR APPROACH CONTROL (CERAP) CHECKLIST

. SECTION 5: NON-FEDERAL CONTROL TOWER

SECTION 1: AFSS/FSS CHECKLIST

(* = Only these items at FSDPS locations)

I. OPERATIONS**A. Management Involvement:**

_____ (1A01) MANAGEMENT INVOLVEMENT. Competent knowledge level demonstrated of day-to-day operations, training programs, air traffic management programs, and operational issues (ATH-1 Memorandum dated August 4, 1993)

B. Operational Error/Deviation Causal Factors

_____ (1B01) CAUSAL FACTOR NUMBER 1.

C. Operational Efficiency:

_____ (1C01) OPERATIONAL EFFICIENCY. Effectiveness and application of procedures and overall operational efficiency

_____ (1C02) OPERATIONAL TEAMWORK.

_____ (1C03) USER SERVICES. ATC services provided to users

_____ (1C04) RELATIONS WITH FAA ORGANIZATIONS.

D. Operational Supervision:

* _____ (1D01) AS MONITORS OPERATION. Designating watch supervision coverage, basic watch coverage, holiday staffing, overtime, etc., monitors operation, anticipates traffic flow, and implements traffic management (7210.3, AS Performance Standards: NAATS/FAA Agreement)

_____ (1D02) CURRENCY/FAMILIARIZATION. AS/staff/non-operational personnel maintain currency and/or familiarization (N7210.440; AS Performance Standards)

E. General:

* _____ (1E01) OPERATIONAL REFERENCE MATERIAL. Position binders, directives, charts, publications, and other documents used in operations area. Mandatory subjects and compliance to national directives (7210.3)

____ (1E02) **SIARESPONSIBILITY.** Position responsible for accuracy of SIA (7210.3)

____ (1E03) AIRPORT CONDITION FILE. (7210.3)

Fe Operational Directives:

* ____ (1F01) **SOP.** (7210.3)

____ (1F02) **LETTERS OF AGREEMENT.** LOA required subjects: content and application (7210.3)

____ (1F03) **LETTERS TO AIRMEN.** Letters to Airmen: ATD review, format, and effective/cancellation date (7210.3)

* ____ (1F04) **DUTY FAMILIARIZATION DIRECTIVE.** Positions that require duty familiarization and information to be read/discussed as part of the duty familiarization (7210.3)

* ____ (1F05) **SERVICE CONTINUITY/EMERGENCY PLANS.** Air traffic service continuity, emergency, and bomb threat plans (1600.6; 1900.47; 3120.4; 7210.3)

____ (1F06) **NAVAID MONITORING.** Directive and compliance (7110.10; 7210.3)

G. Operational Requirements:

* ____ (1G01) **POSITION RELIEF/CHECKLIST.** Position relief checklists established and comprehensive verbal briefings are accomplished (7110.10; 7210.3; AS Performance Standards)

____ (1G02) **PHRASEOLOGY.** (7110.10)

____ (1G03) **DATA RECORDING/STRIP MARKING.** Aircraft contacts, flight plans, and pilot weather briefings are properly recorded (7110.10; 7210.3)

____ (1G04) **COMMUNICATIONS.** Format, pilot acknowledgment, abbreviated transmissions, etc. (7110.10)

____ (1G05) **INTERPHONE FORMAT.** (7110.10)

____ (1G06) **WEATHER OBSERVATIONS.** (7210.3)

____ (1G07) **ALTIMETER'S ISSUED** (7110.10)

- * ____ (1G08) PART-TIME OPERATING PROCEDURES. Part-time facility opening/closing procedures (7210.3;7930.2)
- ____ (1G09) ACCEPTING AIRMEN **INFORMATION**. Accepting all airmen information regardless of source or subject matter (7930.2)
- ____ (1G10) **NOTAM'S** PUBLISHED.(7930.2)
- ____ (1G11) **NOTAM** FORWARDING. Forward **NOTAM's** to other ATC facilities (7930.2)
- ____ (1G12) **NOTAM** LOGGING/RETENTION. **NOTAM** logging and retention (7930.2)
- ____ (1G13) **NOTAM'S**. Coordination/origination (7930.2)
- ____ (1G14) **AUTHORIZED EMPLOYEES/NOTAM**. LOA with airport management/list of employees authorized to issue **NOTAM's** (7930.2)
- * ____ (1G15) MODEL 1 FLAGS. M1FC flags: Use of sources (7110.10)

H. Pilot Weather Briefings:

- ____ (1H01) PREFLIGHT BRIEFING DISPLAY.(7110.10)
- ____ (1H02) BRIEFING DETERMINATION. Determination of type of briefing desired (7110.10)
- ____ (1H03) **VNR** STATEMENT USE. Appropriate use of **VNR** statement (7110.10)
- ____ (1H04) BACKGROUND INFORMATION. Necessary background information solicited (7110.10)
- ____ (1H05) BRIEFING FORMAT FOLLOWED. Proper briefing format followed (7110.10)
- ____ (1H06) CONDUCT OF BRIEFINGS. Briefings conducted by translating, interpreting, and summarizing all available sources of data/information (7110.10)
- ____ (1H07) MILITARY TRAINING ACTIVITIES. (7210.3)

I. In-flight Position:

- _____ (1I01) **WEATHER ADVISORIES.** Provide weather advisories if pertinent and not already known (7110.10)
- _____ (1I02) **VFR CRUISING ALTITUDE ADVISORY.**(7110.10)
- _____ (1I03) **LAAS.** (7110.10; 7210.3)
- _____ (1I04) **EFAS RECOMMENDATION.** Recommendation given when appropriate(7110.10)
- _____ (1I05) **RADIO COMMUNICATIONS.** (7110.10; 7210.3)
- _____ (1I06) **EMERGENCY SERVICES.**Lost aircraft/emergency/DF service (7110.10)
- _____ (1I07) **AIRPORT LIGHTING.** Operation of airport lights (7110.10; 7210.3)
- _____ (1I08) **ALNOT BROADCASTS.** (7110.10)
- _____ (1I09) **DENSITY ALTITUDE.** Broadcast density altitude (7210.3)

J. Broadcast Position:

- _____ (1J01) **TIBS.** (7110.10)
- _____ (1J02) **PATWAS.** (7110.10)
- _____ (1J03) **TWEB.** (7110.10)
- _____ (1J04) **HIWAS.** (7110.10)

K. Flight Data/LABS Position:

- _____ (1K01) **SAR.** Search and rescue (SAR)/airport search arrangement (7110.10)
- _____ (1K02) **SERVICE A/B FORMAT.** Service A/B formats/codes procedures(7110.10)

L. En Route Flight Advisory Service (EFAS):

- _____ (1L01) **OPERATING HOURS.** Hours of operation (7210.3)

- _____ (1L02) OPERATING PROCEDURES .EFAS operating procedures (7110.10)
- _____ (1L03) WEATHER INFORMATION. Weather solicitation, dissemination, and coordination (7110.10)
- _____ (1L04) EFAS EQUIPMENT.(7210.3)

Me Equipment:

- _____ (1M01) EMERGENCY FREQUENCIES.(7210.3)
- _____ (1M02) BATTERY TRANSCEIVERS. Battery transceivers checked weekly (7210.3)
- _____ (1M03) TIME CHECK. Time checked each 8 hours (7210.3)
- _____ (1M04) WIND INDICATOR CHECK. Wind indicator cross-checked when facility uses the same sensing equipment as NWS (7210.3)
- _____ (1M05) ALTIMETER REQUIREMENTS (7210.3)
- _____ (1M06) DF. (7110.10; 7210.3)
- _____ (1M07) PLOTTING BOARD. Aircraft orientation plotting board (7210.3)
- _____ (1M08) MINIMUM WEATHER EQUIPMENT.(7210.3)

N. Meteorological Information:

- _____ (1N01) WEATHER PROCESSING. Receipt and dissemination of weather observations/ASOS/AWOS (7110.10)
- _____ (1N02) PIREP'S. Pilot weather reports (PIREP's) solicitation and dissemination (7110.10)

II. TRAINING

A. General Requirements:

- _____ (2A01) TRAINING DIRECTIVE .(3120.4)
- _____ (2A02) COURSE MATERIALS. Facility course materials developed and labeled accordingly (3120.4)

- _____ (2A03) **OJT RECORDS RETENTION.** Retention of OJT certifications and all graded examinations (3120.4)
- _____ (2A04) **CIC TRAINING.** CIC Course #55025 completed (7210.3)
- _____ (2A05) **INSTRUCTOR COURSE TRAINING.** Required course completed or waiver granted (3120.4)
- _____ (2A06) **TRAINING ADMINISTRATOR'S CATTs RESPONSIBILITIES.** (3120.4)
- _____ (2A07) **EFAS CERTIFICATIONS.** Required personnel certified (7210.3)

B. On-the-Job Training (OJT):

- _____ (2B01) **OJT SELECTION/TRAINING.** OJT instructor selection/training (3120.4)
- _____ (2B02) **TRAINING TEAM/RESPONSIBILITIES.** (3120.4)
- _____ (2B03) **OJT REPORTS/CERTIFICATIONS.** FAA Forms 3120-26 properly completed (3120.4)
- _____ (2B04) **OJT DISCUSSION.** Instructor and trainee evaluation report training discussion (3120.4)
- _____ (2B05) **PLAN FOR TRAINING.** (3120.4)
- _____ (2B06) **PERFORMANCE SKILL CHECK.** Performance skill checks conducted monthly (3120.4)
- _____ (2B07) **SKILL ENHANCEMENT TRAINING.** (3120.4)
- _____ (2B08) **CERTIFICATION SKILL CHECKS.** (3120.4)
- _____ (2B09) **OJT RESPONSIBILITIES.** OJT I, AS, management responsibilities (3120.4)

C. Training and Proficiency Records (FAA Form 3120-1):

- * _____ (2C01) **RECORD ENTRIES.** Record entries are timely and complete: appropriate training, certification signatures, initials entered, etc. (3120.4; 7210.3)

D. Proficiency Training:

- _____ (2D01) **TAPE TALKS.** (N 7210.443)

- _____ (2D02) **WRITTEN PROGRAM.** Written annual program developed (3120.4)
- _____ (2D03) **AT BULLETIN DISCUSSION.** Air traffic bulletin items with operational and/or procedural impact are verbally discussed/briefed (7210.3)
- _____ (2D04) **REFRESHER.** All required refresher training accomplished (3120.4)
- _____ (2D05) **SUPPLEMENTAL.** Supplemental: Verbally briefed/given prior to the date of new/revised procedures, regulations, or equipment, etc. (3120.4; 7210.3)
- _____ (2D06) **REMEDIAL.** Remedial training and employee letter (3120.4)

III. QUALITY CONTROL

A. Quality Assurance (QA) Program:

- _____ (3A01) **PROGRAM ESTABLISHED AND FACILITY COMPLIANCE.** Facility Quality Assurance Program: Established and in compliance (7010.1; 7210.3)
- _____ (3A02) **INTERNAL EVALUATION .** Internal evaluation (7010.1)
- * _____ (3A03) **OJT PROGRAM EVALUATION.** Annual written evaluation of the OJT program (3120.4)
- _____ (3A04) **RESOURCE MANAGEMENT.** Data analysis and facility tracking (7010.1)

B. Incidents:

- _____ (3B01) **PILOT DEVIATION.** (7210.3; 8020.11)
- _____ (3B02) **FLIGHT ASSIST.** (7210.3)
- _____ (3B03) **EMERGENCIES.** (7210.3; 8020.11)
- _____ (3B04) **NMAC.** (7210.3; 8020.11)

C. Operational **Error/Deviation** Requirements:

- _____ (3C01) **INVESTIGATIVE PROCESS.** (7210.3)

- ____ (3C02) INTERVIEW STATEMENT. Interview statement read or given to employee prior to conducting interviews (7210.3)
- ____ (3C03) REMOVAL/RETURN TO DUTY.(7210.3)
- ____ (3C04) OPERATIONAL ERROR/DEVIATION INVESTIGATION FILE .
Labeling/contents/retention(7210.3)
- ____ (3C05)OE/OD TRAINING RECORD ENTRIES/REMOVAL.Appropriate entries in/removed from the training records (3120.4; 7210.3)

De Formal/Informal Aircraft Accidents and Air Traffic Incidents:

- ____ (3D01) EMERGENCY NOTIFICATION CHECKLIST. Ensure that there is an emergency notification checklist established in the operational quarters using an FAA Form 8020-3 (8020.11,)
- ____ (3D02) PACKAGE/FILE. Labeled correctly, content, and retention (8020.11)
- ____ (3D03) RETENTION/HANDLING OF TAPES. (8020.11)

E. Processing Requests for Information:

- ____ (3E01) PROCESSING REQUESTS. Processing requests (7210.3; 8020.11)

F. Unsatisfactory Condition Reports (UCR):

- ____ (3F01) UCR PROCESSING. Appropriate subjects reported and processed within time limits (1800.6; regional supplement)

IV. **ADMINISTRATION**

A. General:

- * ____ (4A01) ADMINISTRATIVE REFERENCE FILES. Facility master library and staff office reference material (7210.3)
- ____ (4A02) EXTERNALLY PUBLISHED FACILITY DATA. Accuracy of published data pertaining to the facility: Airport facility directory, sectional charts, etc. (7210.3)
- * ____ (4A03) MEDICAL CLEARANCES. Medical clearances (7210.3)

_____ (4A04) TAPE RECORDER CHECKS/DOCUMENTATION/LABELS. Multi channel voice recorders: Checks do not exceed 26 hours and are documented (7210.3)

_____ (4A05) VISIBILITY CHART DEVELOPED/MARKED. Visibility charts: Developed in conjunction with the National Weather Service (NWS) and marked properly (7210.3)

Be Liaison and Familiarization Travel:

* _____ (4B01) NUMBER OF TRIPS. Number of trips per year (7210.3; NAATS/FAA agreement)

* _____ (4B02) TRIP RECORD. Record of trip (7210.3)

* _____ (4B03) REPORT TIMELINESS. Trip reports completed within one week following return to duty (7210.3)

* _____ (4B04) FORMS COMPLETION/PROCESSING. Completion/processing of FAA Forms 1500-7 and 7000-5 (7000.4; 7210.3)

* _____ (4B05) FACILITY TRACKING/ACCOUNTABILITY OF FAA FORMS 7000-5. Tracking/accountability of FAA Forms 7000-5 (7000.4; 7210.3)

C. Appearance/Security:

* _____ (4C01) APPEARANCE/SECURITY. Quarters appearance and security (1600.6; 7210.3)

D. Correspondence, Conferences, Records and Reports:

* _____ (4D01) DIRECTIVES. Directives (Orders, Letters of Agreement, Letters of Procedures, etc.) current, formatted and/or revised correctly, reviewed by ATD when necessary, etc. (1320.1; 7210.3)

* _____ (4D02) FAA FORMS 7230-4 PREPARATION. Preparation: FAA Forms 7230-4 or an approved automated method prepared properly (7210.3)

* _____ (4D03) FAA FORMS 7230-10 PREPARATION. Preparation: FAA Forms 7230-10 or approved automated method prepared properly (7210.3)

_____ (4D04) RECORDS RETENTION. Air traffic records retention (1350.15; 7010.1; 7210.3)

E. T&A Reporting/ETAMS:

- * ____ (4E01) PREPARATION/HANDLING OF TIME AND ATTENDANCE
REPORTS/ETAMS/IPPS. (2730.8; DOT 2730.10; 7210.3)

F. Performance Appraisals:

- * ____ (4F01) PPRS APPRAISAL REVIEW. Initial, midterm, and final (PPRS
AOA-1 Memorandum dated 10/20/95)

G. Labor-Management Relations:

- ____ (4G01) LMR. Relationship between management and the union
organization

H. Communications/Coordination:

- ____ (4H01) COORDINATION/CONFERENCES/PUBLICITY. Conferences with users,
pilot education programs, coordination and communication
with users, etc. (7210.3; ATM/AATM Performance Standards)
- ____ (4H02) EMPLOYEE EMPOWERMENT PROGRAMS. Partnership: Structure,
operating procedures, principles, documentation, and
distribution; SUPCOM (1110.90)

- * ____ (4H03) INTERNAL COMMUNICATIONS. Relationship and methods used to
communicate information (ATM/AATM Performance Standards)

I. Automation:

- ____ (4I01) AIS SECURITY OFFICER (AISSO). AISSO designated
(1600.54)
- ____ (4I02) AUTOMATION SECURITY: EQUIPMENT. Located in secure area
(1600.54)
- ____ (4I03) AUTOMATION SECURITY: PASSWORD PROTECTION. Password
assigned when applicable (1600.54)
- ____ (4I04) CATTs USE/SYSTEM CONFIGURATION. Facility use of C and E
drives (3120.4)
- ____ (4I05) PRINTING LIST/TALLIES RETENTION (AFSS ONLY). Retention of
printing lists and tallies (7210.3)

- _____ (4I06) TAPES RETURNED TO SERVICE, Event reconstruction tapes that are related to accidents and/or incidents are returned to service 15 days from the date of the data extraction unless specific retention instructions are received (8020.11)
- _____ (4I07) OPERATIONS/SERVICEPROCESSOR REQUIREMENTS. Operations and service processor history printout, daily printouts, and archive tapes are maintained for 15 days (1350.15)
- _____ (4I08) POSITION LOGS TO AFSS. Provide position log information for the AFSS sites (7210.3)

SECTION 2: TERMINAL CHECKLIST

(* = N/A at FCT)

I. OPERATIONS**A. Management involvement:**

_____ (1A01) MANAGEMENT INVOLVEMENT. Competent knowledge level demonstrated of day-to-day operations, training programs, air traffic management programs, and operational issues (ATH-1 Memorandum dated August 4, 1993)

B. Operational Error/Deviation Causal Factors

_____ (1B01) CAUSAL FACTOR NUMBER 1

_____ (1B02) CAUSAL FACTOR NUMBER 2

_____ (1B03) CAUSAL FACTOR NUMBER 3

_____ (1B04) CAUSAL FACTOR NUMBER 4

_____ (1B05) CAUSAL FACTOR NUMBER 5

_____ (1B06) CAUSAL FACTOR NUMBER 6

_____ (1B07) CAUSAL FACTOR NUMBER 7

_____ (1B08) CAUSAL FACTOR NUMBER 8

_____ (1B09) CAUSAL FACTOR NUMBER 9

_____ (1B10) CAUSAL FACTOR NUMBER 10

C. Operational Efficiency.

_____ (1C01) OPERATIONAL EFFICIENCY. Effectiveness and application of procedures and overall operational efficiency

_____ (1C02) OPERATIONAL TEAMWORK. (7110.65)

_____ (1C03) USER SERVICES. ATC services provided to users

_____ (1C04) RELATIONS WITH FAA ORGANIZATIONS

D. Traffic Management:

- * ____ (1D01) TM RESPONSIBILITIES. (7210.3)
- * ____ (1D02) FLOW MANAGEMENT. (7110.65; 7210.3)
- ____ (1D03) DELAY REPORTING. (7210.3; 7210.55)

E. Operational Supervision:

- ____ (1E01) AS MONITORS OPERATION. Designating watch supervision coverage, basic watch coverage, holiday staffing, overtime, etc. AS monitors operation, anticipates traffic flow, and implements traffic management (7210.3; AS Performance Standards)
- ____ (1E02) CURRENCY/FAMILIARIZATION (AS/staff/TMC/non-operational personnel maintain currency and/or familiarization (N7210.440; AS Performance Standards)

F. General:

- ____ (1F01) OPERATIONAL REFERENCE MATERIAL. Position binders, directives, charts, publications, and other documents used in the operational area (7210.3)
- ____ (1F02) SIA RESPONSIBILITY. Position responsible for accuracy of SIA (7210.3)
- * ____ (1F03) MVA/IFR CHART. Display and depiction requirements preparation, validation, etc. (7210.3)
- * ____ (1F04) EOVM. Emergency obstruction video map (7210.3)

G. Operational Directives:

- ____ (1G01) SOP. (7210.3)
- ____ (1G02) LETTERS OF AGREEMENT. LOA required subjects, content and application (7210.3)
- * ____ (1G03) LETTERS OF PROCEDURE. LOP subject matter (7210.3)
- ____ (1G04) LETTERS TO AIRMEN. Letters to Airmen: ATD review, format, and effective/cancellation date, nonvisibility movement area, LLWAS, and practice approaches (7210.3)

- _____ (1G05) DUTY FAMILIARIZATION DIRECTIVE. Positions that require duty familiarization and information to be read/discussed as part of the duty familiarization (7210.3)
- _____ (1G06) SELECTING ACTIVE RUNWAYS. Directive and compliance (7210.3)
- _____ (1G07) SERVICE CONTINUITY/EMERGENCY **PLANS**. Air traffic service continuity, emergency and bomb threat plans, etc. (1600.6; 1900.47; 3120.4; 7210.3)
- _____ (1G08) BIRD HAZARDS. (7210.3)
- _____ (1G09) AIRSPACE INTRUSION. (7210.3)
- _____ (1G10) **LAND AND HOLD SHORT OPERATIONS (LAHSO)**. Simultaneous landing/departure operations (7110.65; 7210.3; 7110.114)
- * _____ (1G11) **PREARRANGED COORDINATION**. (7110.74)
- _____ (1G12) **MODE 3A CODES DIRECTIVE**. (7210.3)
- _____ (1G13) **ARTS ENTRIES**. Automated Radar Terminal System (ARTS): Data entries (use of scratch pad, **ATIS**, alpha character, general system information, system altimeter setting) (7210.3)
- _____ (1G14) **MODIFY/QUICK LOOK - BRITE**. (7210.3)
- * _____ (1G15) **ASR-9 SYSTEM AND DISPLAY SETTINGS**. (7210.3)
- _____ (1G16) **NAVAID MONITORING**. Directive and compliance (7210.3)

H. Operational Requirements

- _____ (1H01) **POSITION RELIEF/CHECKLIST**. **Position relief checklists** established and comprehensive verbal briefings are accomplished (7110.65; 7210.3; AS Performance Standards)
- _____ (1H02) **PHRASEOLOGY**. (7110.65)
- _____ (1H03) **STRIP MARKING**. (7110.65)
- _____ (1H04) **INTERPHONE/FREQUENCY MONITORING**. (7110.65; 7210.3)
- _____ (1H05) **COMMUNICATIONS**. Format, pilot acknowledgment, abbreviated transmissions, and **readback** errors (7110.65)

- _____ (1H06) COORDINATION.(7110.65)
- _____ (1H07) INTERPHONE FORMAT. (7110.65)
- _____ (1H08) CLEARANCES. Manual and automated (7110.65; 7110.113)
- _____ (1H09) TRAFFIC ADVISORIES. Any situation that requires the issuance of traffic (7110.65)
- _____ (1H10) SAFETY ALERTS. (7110.65)
- _____ (1H11) TCAS. Resolution advisories (7110.65)
- _____ (1H12) LANDING AREA CONDITION/INFORMATION REPORTING AND COORDINATION. Reporting and coordinating landing area conditions and information(7110.65)
- _____ (1H13) ABNORMAL OPERATIONS. Abnormal operation of approach and landing aids and destination airport conditions if not publicized in the ATIS(7110.65)
- _____ (1H14) RVR AND RVV ISSUANCE. Issuance of runway visual range and runway visibility(7110.65)
- * _____ (1H15) AIRPORT DE-ICING PLANS. Compliance/reporting (7210.3)

I. Tower/TRACON:

- _____ (1I01) GATE HOLD PROCEDURES. (7110.65; 7210.3)
- _____ (1I02) ATIS PROCEDURES. ATIS duties including code broadcast, content, tape review, etc. (7110.65; 7210.3)
- _____ (1I03) OPENING/CLOSING PROCEDURES. Part-time facility opening/closing procedures, including ATIS broadcast (7210.3)
- _____ (1I04) POSITION DETERMINATION. Aircraft/vehicle position determination(7110.65)
- _____ (1I05) TAXI/GROUND MOVEMENT PROCEDURES. Taxi instructions (7110.65)
- _____ (1I06) CRITICAL AREAS. Precision approach critical areas (7110.65)
- _____ (1I07) LOCAL/GROUND COORDINATION.(7110.65)
- _____ (1I08) INTERSECTION DEPARTURES. (7110.65; 7210.3)

- _____ (1I09) RUNWAY SURVEILLANCE. (7110.65)
- _____ (1I10) TIPH. Takeoff position and hold (7110.65)
- _____ (1I11) RUNWAY UTILIZATION. (7110.65; 7210.3)
- _____ (1I12) SAME RUNWAY SEPARATION. (7110.65)
- _____ (1I13) INTERSECTING RUNWAY: ARRIVAL/DEPARTURE SEPARATION.
Separation standards: Intersecting runways (7110.65)
- _____ (1I14) RUNWAY EXITING. (7110.65)
- _____ (1I15) HELICOPTER OPERATIONS. (7110.65)
- _____ (1I16) BRITE. Bright Radar Indicator Tower Equipment: Use
(7210.3)
- _____ (1I17) AIRSPACE USE. Coordinate use of airspace (7110.65)
- _____ (1I18) CLASS B/C/D/TRSA AIRSPACE OPERATIONS. (7110.65; 7210.3)
- _____ (1I19) SPECIAL VFR. (7110.65)
- _____ (1I20) EMERGENCY PROCEDURES. Emergency, NORDO, hijack, etc.
(7110.65)
- _____ (1I21) NONRADAR PROCEDURES. (7110.65)
- _____ (1I22) VISUAL SEPARATION. (7110.65)
- * _____ (1I23) RADAR IDENTIFICATION METHODS. (7110.65)
- * _____ (1I24) RADAR TERMINATION. (7110.65)
- * _____ (1I25) VECTORING. Vectoring: Application/methods (7110.65)
- _____ (1I26) POINT-OUT PROCEDURES. Compliance/format (7110.65)
- * _____ (1I27) AIT. Automated information transfer - flash through (7110.65)
- _____ (1I28) RADAR HANDOFFS. Compliance/format (7110.65)
- _____ (1I29) SEPARATION STANDARDS. (7110.65)
- * _____ (1I30) MERGING TARGET PROCEDURES. (7110.65)

- * ____ (1I31) APPROACH INFORMATION.(7110.65)
- * ____ (1I32) ARRIVAL INSTRUCTIONS.(7110.65)
- * ____ (1I33) VECTORING TO FINAL APPROACH. (7110.65)
- ____ (1I34) SPEED ADJUSTMENTS. Speed control application, methods, and minima (7110.65)
- ____ (1I35) INSTRUMENT APPROACH PROCEDURES. Simultaneous ILS/MLS approaches, parallel ILS/MLS approaches, simultaneous independent ILS/MLS approaches, converging instrument approaches, and dependent converging instrument approaches with converging runway display aid (7110.65;7110.98;7110.110;7210.3)
- ____ (1I36) VISUAL APPROACHES. (7110.65;7110.9)
- ____ (1I37) DEPARTURE PROCEDURES. (7110.65)
- ____ (1I38) WAKE TURBULENCE. (7110.65)
- ____ (1I39) MODE C VALIDATION.(7110.65)

J. Equipment:

- ____ (1J01) EMERGENCY FREQUENCIES.(7210.3)
- ____ (1J02) BATTERY TRANSCEIVERS. Battery transceivers checked weekly (7210.3)
- ____ (1J03) TIME CHECK. Time checked each 8 hours (7210.3)
- ____ (1J04) ALTIMETER REQUIREMENTS.(7210.3)
- ____ (1J05) WIND INDICATOR CHECK. Wind indicator cross-checked when facility uses the same sensing equipment as NWS (7210.3)
- ____ (1J06) RADAR CHECK. Radar performance checks (7210.3)
- ____ (1J07) RADAR ALIGNMENT. Radar alignment check (7110.65)
- * ____ (1J08) CENRAP. CENRAP operations (7110.109)
- * ____ (1J09) ASDE PERFORMANCE CHECKS. (7210.3)

K. Weather Information:

- _____ (1K01) WEATHER PROCESSING. Receipt/dissemination of weather observations/ASOS/AWOS (7110.65; 7210.3; 7900.5)
- _____ (1K02) PIREPS Solicitation/dissemination (7110.65)
- * _____ (1K03) LLWAS/TDWR. Low Level Wind Shear Alert System/Terminal Doppler Weather Radar (7110.65; 7210.3)
- _____ (1K04) HIWAS BROADCAST. CWA and SIGMET (7110.65; 7210.3)
- _____ (1K05) DENSITY ALTITUDE. Broadcast (7210.3)

II. TRAINING

A. General Requirements

- _____ (2A01) TRAINING DIRECTIVE. (3120.4)
- _____ (2A02) COURSE MATERIALS. Facility course materials developed and labeled accordingly (3120.4)
- _____ (2A03) OJT RECORDS RETENTION. Retention of OJT certifications and all graded examinations (3120.4)
- _____ (2A04) CIC TRAINING. Course #55024 (7210.3)
- * _____ (2A05) TMC TRAINING. Course #55116 (TMC IPG)
- * _____ (2A06) INSTRUCTOR COURSE TRAINING. Required course completed or waiver granted (3120.4)
- * _____ (2A07) TRAINING ADMINISTRATOR'S CATTS RESPONSIBILITIES. (3120.4)

B. On-the-Job Training (OJT)

- _____ (2B01) OJT SELECTION/TRAINING. (3120.4)
- * _____ (2B02) TRAINING TEAM/RESPONSIBILITIES. (3120.4)
- _____ (2B03) OJT REPORTS/CERTIFICATIONS. FAA Forms 3120-25 properly completed (3120.4)

- *___ (2B04) **OJT DISCUSSION.** Instructor and trainee evaluation report training discussion (3120.4)
- *___ (2B05) **PLAN FOR TRAINING.** (3120.4)
- *___ (2B06) **PERFORMANCE SKILL CHECK.** Conducted monthly (3120.4)
- *___ (2B07) **SKILL ENHANCEMENT TRAINING.** (3120.4)
- *___ (2B08) **CERTIFICATION SKILL CHECKS.** (3120.4)
- ___ (2B09) **OJT RESPONSIBILITIES.** OJT responsibilities, Instructor, AS, management responsibilities (3120.4)

C. Training and Proficiency Records (FAA Form **3120-1**)

- ___ (2C01) **RECORD ENTRIES.** Record entries are timely and complete: appropriate training, certification signatures, initials entered, ASR approach entry, etc. (3120.4; 7210.3)

D. Proficiency Training

- ___ (2D01) **TAPE TALKS.** (N 7210.443)
- ___ (2D02) **WRITTEN PROGRAM.** Written annual program developed (3120.4)
- ___ (2D03) **AT BULLETIN DISCUSSION.** Air traffic bulletin items with operational and/or procedural impact are verbally discussed (7210.3)
- ___ (2D04) **REFRESHER.** All required refresher training (3120.4)
- ___ (2D05) **SUPPLEMENTAL.** Supplemental: Verbally briefed/given prior to the date of new/revised procedures, regulations or equipment, etc. (3120.4; 7210.3)
- ___ (2D06) **REMEDIAL.** Remedial training and employee letter (3120.4)

E. Contract Training Administration:

- *___ (2E01) **ATM RESPONSIBILITIES.** ATM responsibilities of administration, organization, and supervision in accordance with Order 3120.4 (3120.25)

- * ____ (2E02) CONTRACT MANAGEMENT COURSE. FAA approved course in acquisition/contract management or equivalent (3120.25)
- * ____ (2E03) PERFORMANCE. Facility Training Liaison Officer (FTLO) ensures contract performance is in accordance with the training contract (3120.25)
- * ____ (2E04) CONTRACTOR/INSTRUCTOR EVALUATION. FAA evaluation of the contractor/instructors completed (3120.25)
- * ____ (2E05) FACILITY PRODUCTIVITY REPORT. Completion/resolution of differences (3120.25)
- * ____ (2E06) CONTRACT COMPLIANCE. The contractor only performs work that is specifically stated in the contract and tasked in writing (3120.25)

III. QUALITY CONTROL

A. Quality Assurance (QA) Program:

- ____ (3A01) PROGRAM ESTABLISHED AND FACILITY COMPLIANCE.
Facility Quality Assurance Program: Established and in compliance (7010.1; 7210.3)
- ____ (3A02) INTERNAL EVALUATION. (7010.1)
- ____ (3A03) OE/OD PREVENTION. Facility program established and in compliance (ATM Performance Standards)
- * ____ (3A04) OJT PROGRAM EVALUATION. Annual written evaluation of the OJT program (3120.4)
- * ____ (3A05) RESOURCE MANAGEMENT. Data analysis, facility tracking (3550.13); 7010.1)

B. Incidents:

- ____ (3B01) PILOT DEVIATION. (7210.3; 8020.11)
- ____ (3B02) SPILL OUT. (7210.3; 8020.11)
- ____ (3B03) FLIGHT ASSIST. (7210.3)

- _____ (3B04) EMERGENCIES. (7210.3; 8020.11)
- _____ (3B05) NMAC. (7210.3; 8020.11)
- _____ (3B06) VEHICLE/PEDESTRIAN DEVIATION. (7210.3; 8020.11)
- * _____ (3B07) INVALID MODE C REPORTING. (7210.3)

C. Operational Error/Deviation Requirements:

- _____ (3C01) INVESTIGATIVE PROCESS. (7210.3)
- _____ (3C02) INTERVIEW STATEMENT. Interview statement read or given to employee prior to conducting interviews (7210.3)
- _____ (3C03) REMOVAL/RETURN TO DUTY. (7210.3)
- _____ (3C04) OPERATIONAL ERROR/DEVIATION INVESTIGATION FILE. Labeling/contents/retention (7210.3)
- _____ (3C05) OE/OD TRAINING RECORD ENTRIES/REMOVAL. Appropriate entries in/removed from the training records (3120.4; 7210.3)

D. Formal/Informal Aircraft Accidents and Air Traffic Incidents:

- _____ (3D01) EMERGENCY NOTIFICATION CHECKLIST. Ensure that there is an emergency notification checklist established in the operational quarters using an FAA Form 8020-3 (8020.11)
- _____ (3D02) PACKAGE/FILE. Labeled correctly, content, retention (8020.11)
- _____ (3D03) RETENTION/HANDLING OF TAPES. (8020.11)

E. Processing Requests for Information:

- _____ (3E01) PROCESSING REQUESTS. Processing FOIA, NTSB, etc., requests (7210.3; 8020.11)

F. Unsatisfactory Condition Reports (UCR):

- * _____ (3F01) UCR PROCESSING. Appropriate subjects reported and processed within time limits (1800.6 and regional supplement)

IV. ADMINISTRATION**A. General:**

- _____ (4A01) ADMINISTRATIVE REFERENCE FILES. Facility master library and staff office reference material (7210.3)
- _____ (4A02) EXTERNALLY PUBLISHED FACILITY DATA. Accuracy of published data pertaining to the facility: Area charts, sectional charts, etc. (7210.3)
- _____ (4A03) MEDICAL CLEARANCES. (7210.3)
- _____ (4A04) TAPE RECORDER CHECKS/DOCUMENTATION/LABELS. Multichannel voice recorders: Checks do not exceed 26 hours and are documented (7210.3)
- _____ (4A05) VISIBILITY CHART DEVELOPED/MARKED. Visibility charts: Developed in conjunction with the National Weather Service (NWS) and marked appropriately (7210.3)

B. Liaison and Familiarization Travel:

- * _____ (4B01) NUMBER OF TRIPS. Number of trips per year (7210.3; NATCA/FAA agreement)
- * _____ (4B02) TRIP RECORD. Record of trip (7210.3)
- * _____ (4B03) REPORT TIMELINESS. Trip reports completed within one week following return to duty (7210.3)
- * _____ (4B04) FORMS COMPLETION/PROCESSING. Completion/processing of FAA Forms 1500-7 and 7000-5 (7000.4; 7210.3)
- * _____ (4B05) FACILITY TRACKING/ACCOUNTABILITY OF FAA FORMS 7000-5. Tracking/accountability of FAA Forms 7000-5 (7000.4; 7210.3)

C. Appearance/Security:

- _____ (4C01) APPEARANCE/SECURITY. (1600.6; 7210.3)

D. Correspondence, Records and Reports:

- ____ (4D01) **DIRECTIVES.** Directives (Orders, Letters of Agreement, Letters of Procedures, etc.) current, formatted and/or revised correctly, reviewed by ATD when necessary, etc. (1320.1; 7210.3)
- ____ (4D02) **FAA FORMS 7230-4 PREPARATION.** Preparation of FAA Forms 7230-4 or an approved automated method prepared properly (7210.3)
- ____ (4D03) **FAA FORMS 7230-10 PREPARATION.** Preparation of FAA Forms 7230-10 or approved automated method prepared properly (7210.3)
- ____ (4D04) **RECORDS AND TAPE REEL RETENTION.** Air traffic records retention (1350.15; 7010.1; 7210.3)

E. T&A Reporting/ETAMS:

- * ____ (4E01) **PREPARATION/HANDLING OF TIME AND ATTENDANCE REPORTS/ETAMS/IPPS.** T&A Reports/ETAMS (2730.8; DOT 2730.10; 7210.3)

F. Performance Appraisals

- * ____ (4F01) **PPRS APPRAISAL REVIEW.** (PPRS AOA-1 Memorandum dated 10/20/95)

G. Labor-Management Relations

- * ____ (4G01) **LMR.** Relationship between management and the union organization

H. Communications/Coordination

- ____ (4H01) **COORDINATION/CONFERENCES/PUBLICITY.** Conferences with users, pilot education programs, coordination/communication with users, etc. (7210.3; ATM/AATM Performance Standards)

- * ____ (4H02) **EMPLOYEE EMPOWERMENT PROGRAMS.** Partnership: Structure, operating procedures, principles, documentation/distribution; SUPCOM (1110.90)
- * ____ (4H03) **INTERNAL COMMUNICATIONS.** Relationship and methods used to communicate information) (ATM/AATM Performance Standards)

I. Automation:

- ____ (4I01) **ARTS DATA DISPLAY.** (7210.3)

- * ____ (4I02) TYPEWRITER DATA. Console typewriter printout and continuous data recording(7210.3)
- * ____ (4I03) SOFTWARE MODIFICATIONS FOR ARTS FACILITIES. Software program modifications(6120.1)
- * ____ (4I04) AUTOMATION PROGRAMS.(7210.3)
- * ____ (4I05) MSAW/CONFLICT/MCI ALERT. (7210.3)
- * ____ (4I06) VIDEO MAP MAGNETIC VARIATION VALIDATION.(7210.3)
- * ____ (4I07) AIS SECURITY OFFICER(AISSO). AISSO designated (1600.54)
- * ____ (4I08) AUTOMATION SECURITY: EQUIPMENT. Located in secure area (1600.54)
- * ____ (4I09) AUTOMATION SECURITY:- PASSWORD PROTECTION. Password assigned when applicable (1600.54)
- * ____ (4I10) CATTS USE/SYSTEM CONFIGURATION.(3120.4)

SECTION 3: EN ROUTE CHECKLIST**I. OPERATIONS****A. Management Involvement:**

_____ (1A01)MANAGEMENT INVOLVEMENT. Competent knowledge level demonstrated of day-to-day operations, training programs, air traffic management programs, and operational issues (ATH-1 Memorandum dated August 4, 1993)

Be Operational Error/Deviation Causal Factors.

_____ (1B01) CAUSAL FACTOR NUMBER 1.

_____ (1B02) CAUSAL FACTOR NUMBER 2.

_____ (1B03) CAUSAL FACTOR NUMBER 3.

_____ (1B04) CAUSAL FACTOR NUMBER 4.

_____ (1B05) CAUSAL FACTOR NUMBER 5.

_____ (1B06) CAUSAL FACTOR NUMBER 6.

_____ (1B07) CAUSAL FACTOR NUMBER 7.

_____ (1B08) CAUSAL FACTOR NUMBER 8.

_____ (1B09) CAUSAL FACTOR NUMBER 9.

_____ (1B10)CAUSAL FACTOR NUMBER 10.

C. Operational Efficiency.

_____ (1C01)OPERATIONALEFFICIENCY. Effectiveness and application of procedures and overall operational efficiency

_____ (1C02)OPERATIONALTEAMWORK. (7110.65)

_____ (1C03)USER SERVICES.ATC services provided to users

_____ (1C04)RELATIONS WITHFAA ORGANIZATIONS.

D. Traffic Management:

- _____ (1D01) TM RESPONSIBILITIES. Organizational responsibilities (7210.3)
- _____ (1D02) EQUITY OF SERVICE. (7210.3)
- _____ (1D03) SUPPLEMENTAL DUTIES. (7210.3)
- _____ (1D04) WEATHER **COORDINATOR**. Duties, staffing, and training of the weather coordinator position (7210.3; 7210.38)
- _____ (1D05) AM SUPPORT. (7110.65; 7210.3)
- _____ (1D06) TM FUNCTIONS. (7110.65; 7210.3)
- _____ (1D07) PREFERRED **IFR** ROUTES. Action, development, coordination, and operational procedures (7210.3)
- _____ (1D08) SPECIAL PROGRAMS. (7210.3)
- _____ (1D09) MONITOR AND ALERT PARAMETERS (MAP). (7210.3)
- _____ (1D10) SWAP. Severe Weather Avoidance Program (7210.3)
- _____ (1D11) FLOW MANAGEMENT. Departure, en route, and arrival flow management (7210.3)
- _____ (1D12) SEQUENCING PROGRAM. Departure, en route, arrival (7210.3)
- _____ (1D13) DELAY REPORTING. Delay reporting procedures (7210.3; 7210.55)

E. Operational Supervision:

- _____ (1E01) AS MONITORS OPERATION. Designating watch supervision coverage, basic watch coverage, holiday staffing, overtime, etc. AS monitors operation, anticipates traffic flow, and implements traffic management (7210.3; AS Performance Standards)
- _____ (1E02) CURRENCY/FAMILIARIZATION. AS, staff, **TMC**, and non-operational personnel maintain currency and/or familiarization (AS Performance Standards)

F. General :

- _____ (1F01) **OPERATIONAL REFERENCE MATERIAL.** Position binders, directives, charts, publications, and other documents used in operations area. Mandatory subjects and compliance to national directives (7210.3)
- _____ (1F02) **SIA RESPONSIBILITY.** Position responsible for accuracy of SIA (7210.3)
- _____ (1F03) **MILITARY OPERATIONS AREA SCHEDULE.** Changes to published military operations area activity schedules (7210.3)
- _____ (1F04) **ADVANCE APPROACH INFORMATION.**(7110.65; 7210.3)
- _____ (1F05) **ATIS.** ATIS information (7110.65)
- _____ (1F06) **MINIMUM IFR ALTITUDES.**(7210.3)

G. Operational Directives:

- _____ (1G01) **SOP.** (7210.3)
- _____ (1G02) **LETTERS OF AGREEMENT.** LOA required subjects, content, and application(7210.3)
- _____ (1G03) **LETTERS OF PROCEDURE.** LOP subject matter (7210.3)
- _____ (1G04) **LETTERS TO AIRMEN.** ATD review, format, and effective/cancellation date, and appropriate subjects (7210.3)
- _____ (1G05) **DUTY FAMILIARIZATION DIRECTIVE.** Positions that require duty familiarization and information to be read/discussed as part of the duty familiarization (7210.3; 7110.65)
- _____ (1G06) **SERVICE CONTINUITY/EMERGENCY PLANS.** Air traffic service continuity, emergency and bomb threat plans, etc. (1600.6; 1900.47; 3120.4; 7210.3)
- _____ (1G07) **AIRSPACE INTRUSION.**(7210.3)
- _____ (1G08) **CWSU DIRECTIVE.** Comprehensive local CWSU order, CWSU coordinator designated and responsibilities defined (7210.38)
- _____ (1G09) **TRANSITION PROCEDURES.** Transition procedures to and from radar data processing and DARC operations (7210.3)

_____ (1G10) ALTITUDE WAIVER. Waiver to interim altitude requirements (7210.3)

_____ (1G11) PREARRANGED COORDINATION. (7110.74)

He Operational Requirements:

_____ (1H01) POSITION RELIEF/CHECKLIST. Position relief checklists established and comprehensive verbal briefings are accomplished (7110.65; 7210.3; AS Performance Standards)

_____ (1H02) PHRASEOLOGY. (7110.65)

_____ (1H03) STRIP MARKING. (7110.65; 7210.3)

_____ (1H04) INTERPHONE/FREQUENCY MONITORING. (7110.65; 7210.3)

_____ (1H05) COMMUNICATIONS. Format. pilot acknowledgment, abbreviated transmissions, and readback errors (7110.65)

_____ (1H06) COORDINATION. (7110.65)

_____ (1H07) INTERPHONE FORMAT. (7110.65)

_____ (1H08) TRAFFIC ADVISORIES. (7110.65)

_____ (1H09) SAFETY ALERTS. (7110.65)

_____ (1H10) TCAS. Resolution advisories (7110.65)

_____ (1H11) NONRADAR PROCEDURES. Nonradar separation procedures (7110.65)

_____ (1H12) POINT-OUT PROCEDURES. Compliance/format (7110.65)

_____ (1H13) MERGING TARGET PROCEDURES. (7110.65)

_____ (1H14) RADAR IDENTIFICATION . (7110.65)

_____ (1H15) RADAR TERMINATION. (7110.65)

_____ (1H16) RADAR HANDOFF PROCEDURES. Compliance/format (7110.65)

_____ (1H17) OCEANIC PROCEDURES. (7110.65)

_____ (1H18) VISUAL. Visual operations, i.e., VFR-on-top, visual approaches, etc. (7110.65)

- _____ (1H19) VISUAL SEPARATION. (7110.65)
- _____ (1H20) SPECIAL VFR. (7110.65)
- _____ (1H21) CLEARANCES. Manual and automated (7110.65)
- _____ (1H22) BEACON SYSTEMS. (7110.65)
- _____ (1H23) MODE C VALIDATION. (7110.65)
- _____ (1H24) APPROACH INFORMATION AND ARRIVAL PROCEDURES. (7110.65)
- _____ (1H25) ARRIVAL INSTRUCTIONS. (7110.65)
- _____ (1H26) DEPARTURE PROCEDURES. (7110.65).
- _____ (1H27) VECTORING. Application/methods (7110.65)
- _____ (1H28) VECTORING TO FINAL APPROACH. (7110.65)
- _____ (1H29) SPEED ADJUSTMENTS. Speed control application, methods, and minima (7110.65)
- _____ (1H30) AIT. Automated information transfer (7110.65; 7210.3)
- _____ (1H31) SEPARATION STANDARDS. Minimum separation standards (7110.65)
- _____ (1H32) WAKE TURBULENCE. (7110.65)
- _____ (1H33) AIRSPACE USE. Coordinate use of airspace (7110.65)
- _____ (1H34) FIX POSTING. Radar fix posting (7110.65)
- _____ (1H35) EMERGENCY PROCEDURES. Emergency, NORDO, hijack, etc. (7110.65)

I. Radar Equipment:

- _____ (1I01) RADAR PERFORMANCE CHECKS/DEFICIENCIES. Documentation on FAA Forms 7230-4 (7210.3)
- _____ (1I02) RADAR ALIGNMENT CHECK. (7110.65)

J. Weather Information:

- _____ (1J01) **WEATHER PROCESSING.** Receipt/dissemination of weather observations/ASOS/AWOS (7110.65; 7210.3)
- _____ (1J02) **PIREPS.** Solicitation/dissemination (7110.65)
- _____ (1J03) **HIWAS BROADCAST.** CWA and SIGMET (7110.65; 7210.3)

II. TRAINING**A. General Requirements**

- _____ (2A01) **TRAINING DIRECTIVE.** (3120.4)
- _____ (2A02) **COURSE MATERIALS.** Facility course materials developed and labeled accordingly (3120.4)
- _____ (2A03) **OJT RECORDS RETENTION.** Retention of OJT certifications and all graded examinations (3120.4)
- _____ (2A04) **OJT HOURS ON BACKUP SYSTEM.** (3120.4)
- _____ (2A05) **CIC TRAINING.** Required Course #55108 (7210.3)
- _____ (2A06) **TMC TRAINING.** Course #55116 (TMC IPG)
- _____ (2A07) **INSTRUCTOR COURSE TRAINING.** Required course completed or waiver granted (3120.4)
- _____ (2A08) **TRAINING ADMINISTRATOR'S CATT'S RESPONSIBILITIES.** (3120.4)

B. On-the-Job Training (OJT)

- _____ (2B01) **OJT SELECTION/TRAINING.** (3120.4)
- _____ (2B02) **TRAINING TEAM/RESPONSIBILITIES.** (3120.4)
- _____ (2B03) **OJT REPORTS/CERTIFICATIONS.** FAA Forms 3120-25 properly completed (3120.4)
- _____ (2B04) **OJT DISCUSSION.** Instructor and trainee evaluation report training discussion (3120.4)

- _____ (2B05) **PLAN FOR TRAINING.**(3120.4)
- _____ (2B06) **PERFORMANCE SKILL CHECK.** Conducted monthly (3120.4)
- _____ (2B07) **SKILL ENHANCEMENT TRAINING.**(3120.4)
- _____ (2B08) **CERTIFICATION SKILL CHECKS.** (3120.4)
- _____ (2B09) **OJT RESPONSIBILITIES.** . OJT/AS/management OJT responsibilities (3120.4)

C. Training and Proficiency Records (FAA Form **3120-1**)

- _____ (2C01) **RECORD ENTRIES.** Record entries are timely and complete: appropriate training, certification signatures, initials entered (3120.4; 7210.3)

D. Proficiency Training

- _____ (2D01) **TAPE TALKS.** (N 7210.443)
- _____ (2D02) **WRITTEN PROGRAM.** Written annual program developed (3120.4)
- _____ (2D03) **AT BULLETIN DISCUSSION.** Air traffic bulletin items with operational and/or procedural impact are discussed (7210.3)
- _____ (2D04) **REFRESHER.** All required refresher training (3120.4)
- _____ (2D05) **DARC.** Refresher: Transition from the primary mode to the backup system (**DARC** and enhanced **DARC**) and vice versa (semi annually) (3120.4)
- _____ (2D06) **SUPPLEMENTAL.** Verbally briefed/given prior to the date of new/revised procedures, regulations or equipment, etc. (3120.4; 7210.3)
- _____ (2D07) **REMEDIAL.** Remedial training and employee letter (3120.4)

E. Contract Training Administration:

- _____ (2E01) **ATM RESPONSIBILITIES.** ATM responsibilities of administration, organization, and supervision in accordance with Order 3120.4 (3120.25)
- _____ (2E02) **CONTRACT MANAGEMENT COURSE.** FAA approved course in acquisition/contract management or equivalent (3120.25)

- _____ (2E03) PERFORMANCE. Facility Training Liaison Officer (FTLO) ensures contract performance is in accordance with the training contract (3120.25).
- _____ (2E04) CONTRACTOR/INSTRUCTOR EVALUATION. FAA evaluation of the contractor completed (3120.25)
- _____ (2E05) FACILITY PRODUCTIVITY REPORT. Completion/resolution of differences (3120.25)
- _____ (2E06) CONTRACT COMPLIANCE. The contractor only performs work that is specifically stated in the contract and tasked in writing (3120.25)

III. QUALITY CONTROL

A. Quality Assurance (QA) Program:

- _____ (3A01) PROGRAM ESTABLISHED AND FACILITY COMPLIANCE. Facility Quality Assurance Program: Established and in compliance (7010.1; 7210.3)
- _____ (3A02) INTERNAL EVALUATION. (7010.1)
- _____ (3A03) OE/OD PREVENTION. Facility program for OE/OD prevention/elimination (ATM Performance Standards)
- _____ (3A04) OJT PROGRAM EVALUATION. Annual written evaluation of the OJT program (3120.4)
- _____ (3A05) RESOURCE MANAGEMENT. Data analysis, facility tracking (3550.13; 7010.1)

B. Incidents:

- _____ (3B01) PILOT DEVIATION. (7210.3; 8020.11)
- _____ (3B02) SPILL OUT. (7210.3; 8020.11)
- _____ (3B03) FLIGHT ASSIST. (7210.3)
- _____ (3B04) EMERGENCIES. (7210.3; 8020.11)
- _____ (3B05) NMAC. (7210.3; 8020.11)

_____ (3B06) INVALID MODE-CREPORTING.(7210.3)

C. Operational Error/Deviation Requirements:

_____ (3C01) INVESTIGATIVE PROCESS.(7210.3)

_____ (3C02) INTERVIEW STATEMENT. Interview statement read or given to employee prior to conducting interviews (7210.3)

_____ (3C03) REMOVAL/RETURN TO DUTY. (7210.3)

_____ (3C04) OPERATIONAL ERROR/DEVIATION INVESTIGATION FILE.
Labeling/contents/retention (7210.3)

_____ (3C05) OE/OD TRAINING RECORD ENTRIES/REMOVAL. Appropriate entries in/removed from the training records (3120.4; 7210.3)

D. Formal/Informal Aircraft Accidents and Air Traffic Incidents:

_____ (3D01) EMERGENCY NOTIFICATION CHECKLIST. Established in the operational quarters using FAA Form 8020-3 (8020.11)

_____ (3D02) PACKAGE/FILE. Labeled correctly, content, retention (8020.11)

_____ (3D03) RETENTION/HANDLING OF TAPES. (8020.11)

E. Processing Request for Information:

_____ (3E01) PROCESSING REQUESTS. Processing FOIA, NTSB, etc. requests (7210.3; 8020.11)

F. Unsatisfactory Condition Reports (UCR):

_____ (3F01) UCR PROCESSING. Appropriate subjects reported and processed within time limits (1800.6; regional supplement)

IV. ADMINISTRATION

A. General:

_____ (4A01) ADMINISTRATIVE REFERENCE FILES. Facility master library and staff reference material (7210.3)

_____ (4A02) EXTERNALLY PUBLISHED FACILITY DATA. Accuracy of published data pertaining to the facility: area charts, sectional charts, etc. (7210.3)

_____ (4A03) MEDICAL CLEARANCES. (7210.3)

B. Liaison and Familiarization Travel:

_____ (4B01) NUMBER OF TRIPS. (7210.3; NATCA/FAA Agreement)

_____ (4B02) TRIP RECORD. (7210.3)

_____ (4B03) REPORT TIMELINESS. Trip reports completed within one week following return to duty (7210.3)

_____ (4B04) FORMS COMPLETION/PROCESSING. Completion and processing of FM Forms 1500-7 and 7000-5 (7000.4; 7210.3)

_____ (4B05) FACILITY TRACKING/ACCOUNTABILITY OF FAA FORMS **7000-5**. Tracking and accountability of FAA Forms 7000-5 (7000.4; 7210.3)

C. Appearance/Security:

_____ (4C01) APPEARANCE/SECURITY. (1600.6; 7210.3)

D. Correspondence, Records, and Reports:

_____ (4D01) DIRECTIVES. Orders, Letters of Agreement, Letters of Procedures, etc., current, formatted and/or revised correctly, reviewed by ATD when necessary, etc. (1320.1; 7210.3)

_____ (4D02) FAA FORM **7230-4** PREPARATION. Preparation: FAA Form 7230-4 or an approved automated method prepared properly (7210.3)

_____ (4D03) FAA FORM **7230-10** PREPARATION. Preparation: FAA Form 7230-10 or approved automated method prepared properly (7210.3)

_____ (4D04) RECORDS RETENTION. Air traffic records retention (1350.15; 7010.1; 7210.3)

E. T&A Reporting/ETAMS:

_____ (4E01) PREPARATION/HANDLING OF TIME AND ATTENDANCE REPORTS/ETAMS/IPPS. (2730.8; DOT 2730.10; 7210.3)

F. Performance Appraisals:

_____ (4F01) PPRS APPRAISAL REVIEW. (PPRSAOA-1 Memorandum dated 10/20/95)

G. Labor-Management ' Relation:

_____ (4G01) LMR. Relationship between management and union organization.

H. Communication/Coordination:

_____ (4H01) **COORDINATION/CONFERENCES/PUBLICITY** Conferences with users, pilot education programs, coordination and communication with users, etc. (7210.3; ATM/AATM Performance Standards)

_____ (4H02) **EMPLOYEE EMPOWERMENT PROGRAMS.** Partnership: Structure, operating procedures, principles, documentation/distribution: SUPCOM (1110.90)

_____ (4H03) **INTERNAL COMMUNICATIONS.** Relationship and methods used to communicate information (ATM/AATM Performance Standards)

I. Automation:

_____ (4I01) **TAPE HANDLING.** Tape/disc handling (7210.3)

_____ (4I02) **E-MSAW ADAPTATION.** Altitude information in E-MSAW agrees with MIA sector charts (7210.3)

_____ (4I03) **AIS SECURITY OFFICER (AISSO).** AISSO designated (1600.54)

_____ (4I04) **AUTOMATION SECURITY: EQUIPMENT.** Located in secure area (1600.54)

_____ (4I05) **AUTOMATION SECURITY: PASSWORD PROTECTION.** Password assigned when applicable (1600.54)

_____ (4I06) **AUTOMATION SECURITY.** Network/office systems/stand alone PC requirements (1600.54)

_____ (4I07) **CATTSUSE/SYSTEM CONFIGURATION.** (3120.4)

Section 4: COMBINED CENTER/RADAR APPROACH CONTROL (CERAP) CHECKLIST**I. OPERATIONS****A. Management Involvement:**

_____ (1A01) MANAGEMENT INVOLVEMENT. Competent knowledge level demonstrated of day-to-day operations, training programs, air traffic management programs, and operational issues (ATH-1 Memorandum, dated August 4, 1993)

B. Operational Error/Deviation Causal Factors.

_____ (1B01) CAUSAL FACTOR NUMBER 1.

_____ (1B02) CAUSAL FACTOR NUMBER 2.

_____ (1B03) CAUSAL FACTOR NUMBER 3.

_____ (1B04) CAUSAL FACTOR NUMBER 4.

_____ (1B05) CAUSAL FACTOR NUMBER 5.

_____ (1B06) CAUSAL FACTOR NUMBER 6.

_____ (1B07) CAUSAL FACTOR NUMBER 7.

_____ (1B08) CAUSAL FACTOR NUMBER 8.

_____ (1B09) CAUSAL FACTOR NUMBER 9.

_____ (1B10) CAUSAL FACTOR NUMBER 10.

C. Operational Efficiency.

_____ (1C01) OPERATIONAL EFFICIENCY. Effectiveness and application of procedures and overall operational efficiency

_____ (1C02) OPERATIONAL TEAMWORK. (7110.65)

_____ (1C03) USER SERVICES. ATC services provided to users

_____ (1C04) RELATIONS WITH FAA ORGANIZATIONS.

D. Traffic Management:

- _____ (1D01) TM RESPONSIBILITIES. Organizational responsibilities (7210.3)
- _____ (1D02) EQUITY OF SERVICE. (7210.3)
- _____ (1D03) SUPPLEMENTAL DUTIES. (7210.3)
- _____ (1D04) WEATHER COORDINATOR. Duties, staffing, and training of the weather coordinator position (7210.3; 7210.38)
- _____ (1D05) AM SUPPORT. (7110.65; 7210.3)
- _____ (1D06) TM FUNCTIONS. (7110.65; 7210.3)
- _____ (1D07) PREFERRED **IFR** ROUTES. Action, development, coordination, and operational procedures (7210.3)
- _____ (1D08) SPECIAL PROGRAMS. (7210.3)
- _____ (1D09) MONITOR AND ALERT PARAMETERS (MAP). (7210.3)
- _____ (1D10) SWAP. Severe Weather Avoidance Program (7210.3)
- _____ (1D11) FLOW MANAGEMENT. Departure, en route, and arrival flow management (7210.3)
- _____ (1D12) SEQUENCING PROGRAM. Departure, en route, arrival (7210.3)
- _____ (1D13) **DELAY REPORTING**. Delay reporting procedures (7210.3; 7210.55)

E. Operational Supervision:

- _____ (1E01) AS MONITORS OPERATION. Designating watch supervision coverage, basic watch coverage, holiday staffing, overtime, etc. AS monitors operation, anticipates traffic flow, and implements traffic management (7210.3; AS Performance Standards)
- _____ (1E02) CURRENCY/FAMILIARIZATION. AS, staff, **TMC**, and non-operational personnel maintain currency and/or familiarization (AS Performance Standards)

F. General :

- _____ (1F01) OPERATIONAL REFERENCE MATERIAL. Position binders, directives, charts, publications, and other documents used in operations area. Mandatory subjects and compliance to national directives (7210.3)
- _____ (1F02) SIA RESPONSIBILITY. Position responsible for accuracy of SIA (7210.3)
- _____ (1F03) MILITARY OPERATIONS AREA SCHEDULE. Changes to published military operations area activity schedules (7210.3)
- _____ (1F04) ADVANCE APPROACH INFORMATION. (7110.65; 7210.3)
- _____ (1F05) ATIS. ATIS information (7110.65)
- _____ (1F06) MINIMUM IFR ALTITUDES. (7210.3)

G. Operational Directives:

- _____ (1G01) SOP. (7210.3)
- _____ (1G02) LETTERS OF AGREEMENT. LOA required subjects, content, and application (7210.3)
- _____ (1G03) LETTERS OF PROCEDURE. LOP subject matter (7210.3)
- _____ (1G04) LETTERS TO AIRMEN. ATD review, format, and effective/cancellation date, and appropriate subjects (7210.3)
- _____ (1G05) DUTY FAMILIARIZATION DIRECTIVE. Positions that require duty familiarization and information to be read/discussed as part of the duty familiarization (7210.3; 7110.65)
- _____ (1G06) SERVICE CONTINUITY/EMERGENCY PLANS. Air traffic service continuity, emergency and bomb threat plans, etc. (1600.6; 1900.47; 3120.4; 7210.3)
- _____ (1G07) AIRSPACE INTRUSION. (7210.3)
- _____ (1G08) CWSU DIRECTIVE. Comprehensive local CWSU order, CWSU coordinator designated and responsibilities defined (7210.38)

- _____ (1G09) **ARTS** AUTOMATIC ACQUISITION. Automatic acquisition/termination area and position responsible for determining if auto acquisition has occurred (7210.3)
- _____ (1G10) ALTITUDE WAIVER. Waiver to interim altitude requirements (7210.3)
- _____ (1G11) PREARRANGED COORDINATION. (7110.74)
- _____ (1G12) **MODE 3A** CODES. (7210.3)
- _____ (1G13) **ASR-9** SYSTEM AND DISPLAY SETTINGS. (7210.3)

H. Operational Requirements:

- _____ (1H01) POSITION RELIEF/CHECKLIST. Position relief checklists established and comprehensive verbal briefings are accomplished (7110.65; 7210.3; AS Performance Standards)
- _____ (1H02) PHRASEOLOGY. (7110.65)
- _____ (1H03) STRIP MARKING. (7110.65; 7210.3)
- _____ (1H04) **INTERPHONE/FREQUENCY** MONITORING. (7110.65; 7210.3)
- _____ (1H05) COMMUNICATIONS. Format, pilot acknowledgment, abbreviated transmissions, and **readback** errors (7110.65)
- _____ (1H06) COORDINATION (7110.65)
- _____ (1H07) INTERPHONE FORMAT. (7110.65)
- _____ (1H08) TRAFFIC ADVISORIES. (7110.65)
- _____ (1H09) **SAFE-W** ALERTS. (7110.65)
- _____ (1H10) **TCAS**. Resolution advisories (7110.65)
- _____ (1H11) **NONRADAR** PROCEDURES. Nonradar separation procedures (7110.65)
- _____ (1H12) POINT-OUT PROCEDURES. Compliance/format (7110.65)
- _____ (1H13) MERGING TARGET PROCEDURES. (7110.65)
- _____ (1H14) RADAR IDENTIFICATION (7110.65)
- _____ (1H15) RADAR TERMINATION. (7110.65)

- _____ (1H16) RADAR HANDOFF PROCEDURES. Compliance/format (7110.65)
- _____ (1H17) OCEANIC PROCEDURES. (7110.65)
- _____ (1H18) VISUAL. Visual operations, i. e., VFR-on-top, visual approaches, etc. (7110.65)
- _____ (1H19) VISUAL SEPARATION. (7110.65)
- _____ (1H20) SPECIAL VFR. (7110.65)
- _____ (1H21) CLEARANCES. Manual and automated (7110.65)
- _____ (1H22) BEACON SYSTEMS. (7110.65)
- _____ (1H23) MODE C VALIDATION. (7110.65)
- _____ (1H24) APPROACH INFORMATION AND **ARRIVAL** PROCEDURES. (7110.65)
- _____ (1H25) ARRIVAL INSTRUCTIONS. (7110.65)
- _____ (1H26) **LANDING** AREA CONDITION/INFORMATION REPORTING AND COORDINATION.
Reporting and coordinating landing area conditions and information (7110.65)
- _____ (1H27) ABNORMAL OPERATIONS. Abnormal operation of approach and landing aids and destination airport conditions if not publicized in the **ATIS** (7110.65)
- _____ (1H28) **ATIS** PROCEDURES. **ATIS** duties including code broadcast, content, tape review, etc. (7110.65; 7210.3)
- _____ (1H29) INSTRUMENT APPROACH PROCEDURES. Simultaneous ILS/MLS approaches, parallel ILS/MLS approaches, simultaneous independent ILS/MLS approaches, converging instrument approaches, and dependent converging instrument approaches with converging runway display aid (7110.65; 7110.98; 7110.110; 7210.3)
- _____ (1H30) CLASS **B/C/D/TRSA** AIRSPACE OPERATIONS. (7110.65; 7210.3)
- _____ (1H31) DEPARTURE PROCEDURES. (7110.65)
- _____ (1H32) VECTORING. Application/methods (7110.65)
- _____ (1H33) VECTORING TO FINAL APPROACH. (7110.65)

- _____ (1H34) **SPEED ADJUSTMENTS**. Speed control application, methods, and minima (7110.65)
- _____ (1H35) **AIT**. Automated information transfer (7110.65; 7210.3)
- _____ (1H36) **SEPARATION STANDARDS**. Minimum separation standards (7110.65)
- _____ (1H37) **WAKE TURBULENCE**. (7110.65)
- _____ (1H38) **AIRSPACE USE**. Coordinate use of airspace (7110.65)
- _____ (1H39) **FIX POSTING**. Radar fix posting (7110.65)
- _____ (1H40) **EMERGENCY PROCEDURES**. Emergency, **NORDO**, hijack. etc. (7110.65)

I. Radar Equipment:

- _____ (1I01) **RADAR PERFORMANCE CHECKS/DEFICIENCIES**. Documentation on FAA Forms 7230-4 (7210.3)
- _____ (1I02) **RADAR ALIGNMENT CHECK**. (7110.65)
- _____ (1I03) **CENRAP**. CENRAP operations (7110.109)

J. Weather Information:

- _____ (1J01) **WEATHER PROCESSING**. Receipt/dissemination of weather observations/ASOS/AWOS (7110.65; 7210.3)
- _____ (1J02) **PIREPS**. Solicitation/dissemination (7110.65)
- _____ (1J03) **HIWAS BROADCAST**. CWA and SIGMET (7110.65; 7210.3)

II . TRAINING

A. General Requirements

- _____ (2A01) **TRAINING DIRECTIVE**. (3120.4)
- _____ (2A02) **COURSE MATERIALS**. Facility course materials developed and labeled accordingly (3120.4)
- _____ (2A03) **OJT RECORDS RETENTION**. Retention of **OJT** certifications and all graded examinations (3120.4)

- _____ (2A04) OJT HOURS ON BACKUP SYSTEM (3120.4)
- _____ (2A05)CIC TRAINING. Required Course #55108 (7210.3)
- _____ (2A06) TMC TRAINING. Course #55116 (TMC IPG)
- _____ (2A07) INSTRUCTOR COURSE TRAINING. Required course completed or waiver granted (3120.4)
- _____ (2A08) TRAINING ADMINISTRATOR'S RESPONSIBILITIES. (3120.4)

B. On-the-Job Training (OJT)

- _____ (2B01) OJT SELECTION/TRAINING. (3120.4)
- _____ (2B02) TRAINING TEAM/RESPONSIBILITIES. (3120.4)
- _____ (2B03) OJT REPORTS/CERTIFICATIONS. FAA Forms 3120-25 properly completed (3120.4)
- _____ (2B04) OJT DISCUSSION. Instructor and trainee evaluation report training discussion (3120.4)
- _____ (2B05) PLAN FOR TRAINING. (3120.4)
- _____ (2B06) PERFORMANCE SKILL CHECK. Conducted monthly (3120.4)
- _____ (2B07) SKILL ENHANCEMENT TRAINING. (3120.4)
- _____ (2B08) CERTIFICATION SKILL CHECKS. (3120.4)
- _____ (2B09) OJT RESPONSIBILITIES. OJT I/AS/management OJT responsibilities (3120.4)

C. Training and Proficiency Records (FAA Form 3120-1)

- _____ (2C01) RECORD ENTRIES. Record entries are timely and complete; appropriate training, certification signatures, initials entered, ASR approach entry, etc. (3120.4; 7210.3)

D. Proficiency Training

- _____ (2D01) TAPE TALKS. (N 7210.443)

- _____ (2D02) **WRITTENPROGRAM**. Written annual program developed (3120.4)
- _____ (2D03) **AT BULLETIN DISCUSSION**. Air traffic bulletin items with operational and/or procedural impact are discussed (7210.3)
- _____ (2D04) **REFRESHER**. All required refresher training (3120.4)
- _____ (2D05) **DARC**. Refresher: Transition from the primary mode to the backup system (**DARC** and enhanced **DARC**) and vice versa (semi annually) (3120.4)
- _____ (2D06) **SUPPLEMENTAL**. Verbally briefed/given prior to the date of new/revised procedures, regulations, or equipment, etc. (3120.4; 7210.3)
- _____ (2D07) **REMEDIAL**. Remedial training and employee letter (3120.4)

E. Contract Training Administration:

- _____ (2E01) **ATM RESPONSIBILITIES**. ATM responsibilities of **administration**, organization, and supervision in accordance with Order 3120.4 (3120.25)
- _____ (2E02) **CONTRACT MANAGEMENT COURSE**. FAA approved course in acquisition/contract management or equivalent (3120.25)
- _____ (2E03) **PERFORMANCE**. Facility Training Liaison Officer (**FTLO**) ensures contract performance is in accordance with the training contract (3120.25)
- _____ (2E04) **CONTRACTOR/INSTRUCTOR EVALUATION**. FAA evaluation of the contractor completed (3120.25)
- _____ (2E05) **FACILITY PRODUCTIVITYREPORT**. Completion/resolution of differences (3120.25)
- _____ (2E06) **CONTRACT COMPLIANCE**. The contractor only performs work that is specifically stated in the contract and tasked in writing (3120.25)

III. QUALITY CONTROL

A. Quality Assurance (QA) Program:

- _____ (3A01) PROGRAM ESTABLISHED AND FACILITY COMPLIANCE. Facility Quality Assurance Program: Established and in compliance (7010.1;7210.3)
- _____ (3A02) INTERNAL EVALUATION. (7010.1)
- _____ (3A03) OE/OD PREVENTION. Facility program for OE/OD prevention/elimination (ATM Performance Standards)
- _____ (3A04) OJT PROGRAM EVALUATION. Annual written evaluation of the OJT program (3120.4)
- _____ (3A05) RESOURCE MANAGEMENT. Data analysis, facility tracking (3550.13; 7010.1)

B. Incidents:

- _____ (3B01) PILOT DEVIATION. (7210.3;8020.11)
- _____ (3B02) SPILL OUT. (7210.3; 8020.11)
- _____ (3B03) FLIGHT ASSIST. (7210.3)
- _____ (3B04) EMERGENCIES. (7210.3; 8020.11)
- _____ (3B05) NMAC. (7210.3; 8020.11)
- _____ (3B06) INVALID MODE C REPORTING. (7210.3)

C. Operational Error/Deviation Requirements:

- _____ (3C01) INVESTIGATIVE PROCESS. (7210.3)
- _____ (3C02) INTERVIEW STATEMENT. Interview statement read or given to employee prior to conducting interviews (7210.3)
- _____ (3C03) REMOVAL/RETURN TO DUTY. (7210.3)
- _____ (3C04) OPERATIONAL ERROR/DEVIATION INVESTIGATION FILE. Labeling/contents/retention (7210.3)

____ (3C05) OE/OD TRAINING RECORD ENTRIES/REMOVAL. Appropriate entries in/removed from the training records (3120.4; 7210.3)

D. Formal/Informal Aircraft Accidents and Air Traffic Incidents:

____ (3D01) EMERGENCY NOTIFICATION CHECKLIST. Established in the operational quarters using FAA Form 8020-3 (8020.11)

____ (3D02) PACKAGE/FILE. Labeled correctly, content, retention (8020.11)

____ (3D03) RETENTION/HANDLING OF TAPES. (8020.11)

E. Processing Request for Information:

____ (3E01) PROCESSING REQUESTS. Processing FOIA, NTSB, etc. requests (7210.3; 8020.11)

F. Unsatisfactory Condition Reports (UCR):

____ (3F01) UCR PROCESSING. Appropriate subjects reported and processed within time limits (1800.6; regional supplement)

IV. ADMINISTRATION

A. General:

____ (4A01) ADMINISTRATIVE REFERENCE FILE. Facility master library and staff reference material (7210.3)

____ (4A02) EXTERNALLY PUBLISHED FACILITY DATA. Accuracy of published data pertaining to the facility: Area charts, sectional charts, etc. (7210.3)

____ (4A03) MEDICAL CLEARANCES. (7210.3)

B. Liaison and Familiarization Travel:

____ (4B01) NUMBER OF TRIPS. (7210.3; NATCA/FAA Agreement)

____ (4B02) TRIP RECORD. (7210.3)

____ (4B03) REPORT TIMELINESS. Trip reports completed within one week following return to duty (7210.3)

_____ (4B04) **FORMS COMPLETION/PROCESSING.** Completion and processing of FAA Forms 1500-7 and 7000-5 (7000.4; 7210.3)

_____ (4B05) **FACILITY TRACKING/ACCOUNTABILITY OF FAA FORMS 7000-5.** Tracking and accountability of FAA Forms 7000-5 (7000.4; 7210.3)

C. Appearance/Security:

_____ (4C01) **APPEARANCE/SECURITY.** (1600.6; 7210.3)

D. Correspondence, Records, and Reports:

_____ (4D01) **DIRECTIVES.** Orders, Letters of Agreement, Letters of Procedures, etc., current, formatted and/or revised correctly, reviewed by ATD when necessary, etc. (1320.1; 7210.3)

_____ (4D02) **FM FORM 7230-4 PREPARATION.** Preparation: FAA Form 7230-4 or an approved automated method prepared properly (7210.3)

_____ (4D03) **FAA FORM 7230-10 PREPARATION.** Preparation: FAA Form 7230-10 or approved automated method prepared properly (7210.3)

_____ (4D04) **RECORDS RETENTION.** Air traffic records retention (1350.15; 7010.1; 7210.3)

E. T&A Reporting/ETA&:

_____ (4E01) **PREPARATION/HANDLING OF TIME AND ATTENDANCE REPORTS/ETAMS/IPPS.** (2730.8; DOT 2730.10; 7210.3)

F. Performance Appraisals:

_____ (4F01) **PPRS APPRAISAL REVIEW.** (PPRS AOA-1 Memorandum dated 10/20/95)

G. Labor-Management Relations:

_____ (4G01) **LMR.** Relationship between management and union organization.

H. Communication/Coordination:

_____ (4H01) **COORDINATION/CONFERENCES/PUBLICITY.** Conferences with users, pilot education programs, coordination and communication with users, etc. (7210.3; ATM/AATM Performance Standards)

____ (4H02) EMPLOYEE EMPOWERMENT PROGRAMS. Partnership: Structure, operating procedures, principles, documentation/distribution: SUPCOM (1110.90)

____ (4H03) INTERNAL COMMUNICATIONS. Relationship and methods used to communicate information (ATM/AATM Performance Standards)

I. Automation:

____ (4I01) TAPE HANDLING. Tape/disc handling (7210.3)

____ (4I02) MSAW/CONFLICT ALERT. (7210.3)

____ (4I03) ARTS DATA DISPLAY. (7210.3)

____ (4I04) TYPEWRITER DATA. Console typewriter printout and continuous data recording (7210.3)

____ (4I05) SOFTWARE MODIFICATIONS FOR ARTS FACILITIES. Software program modifications (6120.1)

____ (4I06) AUTOMATION PROGRAMS. (7210.3)

____ (4I07) VIDEO MAP MAGNETIC VARIATION VALIDATION. (7210.3)

(4I08) AIS SECURITY OFFICER (AISSO). AISSO designated (1600.54)

(4I09) AUTOMATION SECURITY: EQUIPMENT. Located in secure area (1600.54)

____ (4I10) AUTOMATION SECURITY: PASSWORD PROTECTION. Password assigned when applicable (1600.54)

____ (4I11) AUTOMATION SECURITY. Network/office systems/stand alone PC requirements (1600.54)

____ (4I12) CATTS USE/SYSTEM CONFIGURATION. (3120.4)

SECTION 5: NON-FEDERAL CONTROL TOWER (NFCT) CHECKLIST

Evaluations will be accomplished by the assessment of the facility and the control tower operator's compliance with the appropriate subparts of FAR, Part 65, Airmen Other Than Flight Crew Members. The appropriate items shall include:

1. Required certificates, ratings, and/or qualifications.
2. Currency requirements.
3. Possession of current medical, including completion of drug test.
4. Tower operator certificate (CTO) readily available.
5. Adequate equipment (AC No. 90-93, Operating Procedures for Airport Traffic Control Towers (ATCT) that are not Operated by, or Under Contract with, the United States (Non-Federal)).
6. Maximum hours of control tower operations.
7. Compliance with procedures and phraseology in FAA Order 7110.65, Air Traffic Control.

APPENDIX 2. FULL-FACILITY REPORT FORMATS

SECTION 1: EXECUTIVE SUMMARY

SECTION 2: FULL-FACILITY EVALUATION REPORT

SECTION 3: NON-FEDERAL CONTROL TOWER REPORT

SECTION 1: EXECUTIVE SUMMARY

EXECUTIVE SUMMARY YOUR AIRPORT **TRAFFIC** CONTROL TOWER (XYZ) FULL-FACILITY EVALUATION FEBRUARY XX, 199X

This evaluation was the responsibility of **AAT-XX**. The team was assisted by a specialist from the (Name) Region System Effectiveness Branch, **XXX-54X**, a facility AS, and an **FPL** specialist from the facility who served as the **NATCA** representative. The facility manager, John Doe (**EOD XYZ 1/1 5/90**), and facility staff were briefed on the findings of the evaluation team on February **X, 199X**.

XYZ, a Level V **ATCT** within the Central **Your** State Hub or alternative for **ARTCC** or **AFSS** facilities, had a **traffic** count for **CY 199X** of **XXX,XXX** compared to **XXX,XXX** for **CY 199X**, a **X** percent increase/decrease. **XX** problems identified in this report were also identified as problems during the last full-facility evaluation conducted in February **199X**.

XYZ ATCT experienced **XX** operational errors during the **12-month** period to the evaluation.

1. OPERATIONS.

A total of **XXX** items (**XXX** checklist and **X** off-checklist) were assessed. Of these, **XX** items were rated as satisfactory; **X** checklist (and **X** off-checklist) items were rated as problems; **X** item was rated as informational.

Two problems were considered significant: Tape talks and point-out format. One item (point-out format) was also identified as a problem in the last full-facility evaluation conducted in February **199X**.

One significant informational item was identified: **Traffic** advisories.

2. TRAINING.

A total of **XX** items (**XX** checklist and **X** off-checklist) were assessed. Of these, **X** item was rated as commendable; **XX** items were rated as satisfactory; **X** checklist (and **X** off-checklist) items were rated as problems; **X** item was rated as informational.

The commendable item was management involvement.

The informational item dealing with quality of training was considered significant.

3. QUALITY CONTROL.

A total of **XX** items (**XX** checklist and **X** off-checklist) were assessed. Of these, **XX** items were rated as satisfactory; **X** checklist (and **X** off-checklist) items were rated as problems; **X** item was rated as informational.

Two problems were considered significant: The **QA** directive and internal evaluation. The internal evaluation problem was identified as a hub problem.

4. ADMINISTRATION.

A total of **XX items** (**XX** checklist and X off-checklist) were **assessed**. Of these, **XX** items were rated as satisfactory; X checklist (and X off-checklist) items were **rated** as problems; X items were rated as informational.

Three problems were considered significant: Reference **files** /position binders, T&A records, and building leakage. The building leakage problem was identified as a regional problem.

Of the X **informational** items identified, one was considered significant: User comments.

5. SPECIAL EMPHASIS ITEMS (SEI).

Two **SEI's** were applicable in this report. Position binders and **VFR-On-Top** clearances were national **SEI's**.

SECTION 2: FULL-FACILITY EVALUATION REPORT

INFORMATION: Full-Facility Evaluation,
City ATCT (XYZ), Your State; February X-X, 199X

Manager, Air Traffic Evaluations and Investigations Staff, AAT-20

Manager, Air Traffic Division, XXX-500

A full-facility evaluation was conducted at XYZ by members of the Air Traffic Evaluations and Investigations Staff, AAT-20. The evaluation was conducted February X-X, 199X. The team was assisted by an AS from XYZ and an FPL specialist who served as the NATCA representative. The evaluation was conducted through observation, position monitoring, personnel interviews, data review, and a review of in-flight evaluation reports. Operational positions were monitored for XX hours. The team conducted XX internal and XX external interviews. XX in-flight evaluations were conducted. A total of XXX items were assessed during the evaluation. The ATM and staff were briefed on the findings of the evaluation team on February X, 199X.

XYZ, a Level III ATCT within the Central Your State Hub, had a traffic count for CY 199X of XXX,XXX compared to XXX,XXX for CY 199X, a X percent increase/decrease.

XYZ ATCT experienced XX operational errors during the 12-month period prior to the evaluation.

X (spell out) problems identified in this report were also identified as problems during the last full-facility evaluation conducted in February 199X.

1. OPERATIONS.

A total of XXX items (XXX checklist and X off-checklist) was assessed in this section. Of these, XX items were rated as satisfactory; X checklist (and X off-checklist) items were rated as problems; X item was rated as informational. The functional index for Operations was XX compared to a national average of XX for a similar level facility. The facility's 199X rating index was XX.

a. Problem. Three items were identified.

(1) (9X-T-XYZ-001) TAPE TALKS. The tape talk program was current; however, supervisors did not ensure that it was conducted at 6-month intervals (Specific reference).

(2) (9X-T-XYZ-002) DESIGNATING WATCH SUPERVISOR COVERAGE. Evaluators noted instances when there was no supervisor or designated controller-in-charge (CIC) in the tower cab (Specific reference).

(3) (9X-T-XYZ-003) POINT-OUT FORMAT. Point-outs did not include aircraft position, identification, and/or altitude information (Specific reference).

NOTE: POINT-OUT FORMAT was identified as a problem during the last full-facility evaluation conducted during February 199X.

b. Informational. One item was identified.

TRAFFIC ADVISORIES. Specialists provided traffic advisories in a timely manner and merging target procedures were applied correctly.

2. TRAINING.

A total of ~~XXX~~ items (~~XXX~~ checklist and X off-checklist) was assessed in this section. Of these, ~~XX~~ items were rated as satisfactory; X checklist (and X off-checklist) items were rated as problems; X item was rated as informational. The functional index for Training was ~~XX~~ compared to a national average of ~~XX~~ for a similar level facility. The facility's 199X rating index was ~~XX~~.

a. Problem. Two items were identified.

(1) (9X-T-XYZ-004) **TRAINING RECORD ENTRIES.** Certification signatures and employee initials were missing in section III, supplemental and remedial training was logged incorrectly as refresher training in section IV, and **personal** initials were used instead of operating initials (Specific reference).

(2) (9X-T-XYZ-005) **SUPPLEMENTAL TRAINING.** A review of training records revealed that changes 6 and 7 to Order 7110.65F and change 2 to 7110.65G were not briefed prior to the effective dates of the changes (Specific reference).

b. Informational. One item was identified.

DEVELOPMENTAL INTERVIEWS. Interviews were conducted with a cross-section of development & from different specialties and phases of training. Personnel indicated that the overall training program was very good; however, they stated that the time spent in Phase VI was excessive and the computer based instruction program was used too often.

3. QUALITY CONTROL.

A total of ~~XXX~~ items (~~XXX~~ checklist and X off-checklist) was assessed in this section. Of these, ~~XX~~ items were rated as satisfactory; X checklist (and X off-checklist) items were rated as problems; X item was rated as informational. The functional index for Quality Control was ~~XX~~ compared to a national average of ~~XX~~ for a similar level facility. The facility's 199X rating index was ~~XX~~.

a. Commendable. One item was identified.

RESOURCE MANAGEMENT DATA. The facility developed and implemented a system for tracking and analyzing resource management data in accordance with Order 7010.1, Appendix 6. Facility personnel developed the system using personal computers and commercial software. The information was kept current through the cooperative efforts of supervisors, **staff** specialists, and air **traffic** assistants.

b. Problem. Four items were identified.

(1) (9X-T-XYZ-006) **QUALITY ASSURANCE (QA) DIRECTIVE.** The facility's **QA** directive did not assign specific responsibilities to ensure that proper corrective action was taken when deficiencies were identified. Additionally, facility personnel did not comply with the requirements in the **QA** directive to conduct internal evaluations in October and April of each year (Specific reference).

(2) (9X-T-XYZ-007) **EVALUATION OF THE OJT PROGRAM.** A memorandum addressing a requirement to conduct an evaluation of the **OJT** program had been distributed throughout the facility; however, no evaluation was conducted (Specific reference).

(3) (9X-T-XYZ-008) **PILOT DEVIATIONS.** A review of documentation pertaining to pilot deviations revealed that the initials of the person(s) notified of the situation were not entered onto the facility's FAA Forms 7230-4 (Specific reference).

(4) (9X-T-XYZ-009-H) INTERNAL EVALUATION. The hub facility advised the XYZ ATM not to conduct an internal evaluation because hub personnel were to conduct this evaluation. However, the evaluation was not conducted within 1 year of the most recent AAT full-facility evaluation (Specific reference).

NOTE: INTERNAL EVALUATION was identified as a problem during the last full-facility evaluation conducted during February 199X.

c. Informational. One item was identified.

RESOURCE MANAGEMENT DATA. Resource management data (contained in attachment 2) was provided to the evaluation team upon arrival at the facility.

4. ADMINISTRATION.

A total of XXX items (XXX checklist and X off-checklist) was assessed in this section. Of these, XX items were rated as satisfactory; X checklist (and X off-checklist) items were rated as problems; X item was rated as informational. The functional index for Administration was XX compared to a national average of XX for a similar level facility. The facility's 199X rating index was XX.

a. Problem. Four items were identified.

(1) (9X-T-XYZ-010) REFERENCE FILES AND POSITION BINDERS. The facility's reference files and position binders contained outdated information and did not contain the current changes to XYZ Order 7210.3. Additionally, the binders contained undated copies of charts and the team was unable to determine if the charts were still in effect (Specific reference).

(2) (9X-T-XYZ-011) FAA FORMS 7230-4. A review of FAA Forms 7230-4 for June and July 199X revealed that entries were not in accordance with national directives; e.g., corrections were made by over-writes, forms contained extraneous/superfluous entries, and the ATM's initials were missing (Specific reference).

(3) (9X-T-XYZ-012-R) BUILDING LEAKAGE. The facility experienced severe water leakage through the roof, through ceiling tiles, and down the wall of the administrative quarters. A review of documentation presented by the facility manager revealed that extensive written coordination had taken place between the facility and the regional office in an attempt to correct the situation. No evidence existed to indicate action by the region to resolve the building leakage problem at XYZ.

NOTE: BUILDING LEAKAGE was identified as an off-checklist item.

(4) (9X-T-XYZ-013) TIME AND ATTENDANCE (T&A) RECORDS. T&A records were not retained in a secure environment (Specific reference).

b. Informational. Two items were identified.

(1) USER COMMENTS. Conversations with local fixed base operators and other users produced positive comments regarding the facility's service to the customer. The evaluation team found that facility personnel were customer oriented and attempted to provide the best service they could to the users.

(2) STAFFING. Facility personnel provided the evaluation team with a copy of their most current staffing summary (figures depicted in Attachment 3).

5. SPECIAL EMPHASIS ITEM(S) (SEI).

National SEI's. Two items were identified.

- a. POSITION BINDERS. The facility's position binders were well organized; however, they contained outdated material. See item 4a(1) for more details.
- b. VFR-ON-TOP. Observations and interviews revealed that facility personnel were knowledgeable of procedures for VFR-On-Top clearances.

(Manager's Signature)

Attachments

SECTION 3: NON-FEDERAL CONTROL TOWER REPORT

INFORMATION: Full-Facility Evaluation,
XYZ NFCT (XYZ); Your State,
February XX, 19XX

Manager, Air Traffic Evaluations and Investigations Staff, AAT-20

Manager, Air Traffic Division, AXX-500

A full-facility evaluation was conducted at XYZ, a NFCT, by members of the Air Traffic Evaluations and Investigations Staff, AAT-20. The evaluation was conducted **through** observation, monitoring of control positions, interviews, and a review of records. Operational positions were monitored for a total of 2 hours, and XX interviews were conducted. The ATM was briefed on the findings on February XX, 19XX.

XYZ was owned and operated by ZZZ Corporation. The facility's primary mission was to support the ZZZ Corporation's helicopter flight test operations. **Traffic** was limited to flight testing and occasional transient aircraft having business with the two aircraft repair facilities located on the airport.

XYZ **traffic** activity for CY 19XX was XX,XXX, a decrease/increase of X percent from the previous year's activity of XX,XXX. A total of seven checklist items were assessed during the evaluation.

1 Rewed Certificates, Ratings, and/or Qualifications. XYZ was staffed with two air traffic controllers and the ATM. Additionally, XYZ was a **Supplemental** Aviation Weather Reporting Station (SAWRS) and all personnel were properly rated.

2 Currency Requirements. Facility hours of operation were 7 a.m. to 6 p.m., Monday through Friday. Specialists worked **6-hour shifts** and met currency requirements.

3 Possession of Current Medical. The evaluator reviewed each specialist's second class medical certificate and all were up to date.

4. ~~Tower (CTO) or Certificate Readily Available~~. e p r o d u c e d a n d r e v i e w e d b y the evaluator.

5. Equipment. XYZ was equipped with a Motorola **Centracom II** communications system. The system supported two operational positions. Each position had the VHF local control frequency (120.4), a UHF operations frequency (314.6), and the ground control frequency (121.65.) Also, each was equipped with three additional flight test frequencies and UHF/VHF emergency frequencies. Other equipment included a light gun, Wilcox **NDB** and **ILS** monitors, and all equipment associated with taking weather observations. Equipment appeared adequate for the operation.

6 Maximum Hours of Control Tower Operators. Specialists usually worked a 6 to 6 1/2 hour day. Six-day workweeks were rare but sometimes necessary. There was no indication that maximum hours had been exceeded by operational personnel at XYZ.

7. Compliance with Procedures and Phraseology in Order 7110.65. With the exception of a few minor **phraseology** errors, all observed procedures and phraseology were in accordance with Order 7110.65.

(Manager's Signature)

APPENDIX 3. FOLLOWUP REPORT FORMATS

SECTION 1: ONSITE FOLLOWUP EVALUATION REPORT

SECTION 2: DESK AUDIT FOLLOWUP EVALUATION REPORT

SECTION 1: ONSITE FOLLOWUP EVALUATION REPORT

Followup Evaluation,
City ATCT (XYZ), Your State; November XX-XX, 199X
Last Full-Facility Evaluation: February X-X, 199X

Manager, Air Traffic Evaluations and Investigations Staff, AAT-20

Manager, Air Traffic Division, XXX-500

A followup evaluation was conducted at XYZ by members of the Air Traffic Evaluations and Investigations Staff, AAT-20, on November XX-XX, 199X. The team was assisted by a program specialist from XYZ and an FPL specialist who served as the NATCA representative. The evaluation was conducted through observation, position monitoring, review of corrective actions taken by the XYZ ATM to correct problems identified during the full-facility evaluation, data review, interviews, and a review of in-flight evaluation reports. Operational positions were monitored for XX hours. AAT conducted XX internal and XX external interviews. XX in-flight evaluations were conducted. XYZ had experienced XX operational errors in the XX months since the previous full-facility evaluation. The ATM and facility staff were briefed on the findings of the evaluation team on November XX, 199X.

1. CLOSED ITEMS.

a. Operations. Two items were identified.

(1) (9X-T-XYZ-001) TAPE TALKS. The facility developed and implemented an automated tape talk and OTS program which identified individuals who were to have those items conducted during a specific month. The program was tested and tracked for 5 months with no discrepancies. As a management control the QATS reviewed the program monthly. The evaluation team reviewed the program and validated through the training records that the new system ensured that tape talks were conducted at 6-month intervals.

(2) (9X-T-XYZ-002) DESIGNATING WATCH SUPERVISOR COVERAGE. The ATM briefed all qualified individuals on the requirement to ensure that either a supervisor or CIC had to be present in the facility at all times. The ATM tracked this item for 4 months with no discrepancies. As a management control, the ATM spot-checked the tower to ensure compliance. The evaluation team observed supervisors or CIC's on duty in the tower cab at all times during the evaluation.

b. Training. One item was identified.

(9X-T-XYZ-005) SUPPLEMENTAL TRAINING. The ATM briefed the QATS on the requirement to ensure that changes to directives were to be briefed prior to the effective dates. The QATS developed and tracked a suspense system to ensure that all changes were briefed during the monthly training session prior to the effective date of the change. As a management control, the ATM is given a monthly

list of changes and attends the training sessions to ensure compliance. All applicable order changes were briefed since the last full-facility evaluation.

c. **Quality Control**. Two items were identified.

(1)(9X-T-XYZ-006) **QUALITY ASSURANCE (QA) DIRECTIVE**. The facility revised the **QA** directive effective July **X, 199X**. The new directive included specific responsibilities to ensure that proper **corrective** action was taken when deficiencies were identified. Additionally, the facility complied with the requirement to perform internal evaluations annually within 1 year of the last full-facility evaluation conducted by **AAT**. The **QATS** will review the directive annually to ensure currency.

(2)(9X-T-XYZ-007) **EVALUATION OF OJT PROGRAM**. The ATM briefed the **QATS** on the requirement to conduct an annual evaluation of the **OJT** program. The **QATS** selected **August as the** month to conduct the **OJT** program evaluation and **furnished** the ATM with a written copy of the evaluation report. The evaluation team reviewed the report and validated that the August date was added to the annual training schedule, and that the training was given as scheduled.

d. **Administration**. One item was identified.

(9X-T-XYZ-010) **REFERENCE FILES AND POSITION BINDERS**. The ATM designated the **QATS** with the responsibility to ensure facility position binders were accurate and contained up-to-date material. The **QATS** established a program whereby each position binder was checked monthly to ensure currency. A tracking sheet, maintained by the **QATS**, was provided to the evaluation team for review. As a management control, these items have been added to the internal evaluation checklist. No discrepancies were identified.

2. **OPEN ITEMS**.

a. **Operations**. One item was identified.

(9X-T-XYZ-003) **POINT-OUT FORMAT**. Through observation and position monitoring, the evaluation team determined that point-outs did not contain the aircraft position or identification (Specific reference).

NOTE: POINT-OUT FORMAT was closed during the response process and reopened during this evaluation.

b. **Training**. One item was identified.

(9X-T-XYZ-004) **TRAINING RECORD ENTRIES**. A review of **30** percent of FAA Forms **3120-1**, Training and Proficiency Records, revealed that certification signatures and employee initials were missing **from** section III (Specific reference).

c. **Quality Control**. Two items were identified.

(1) (9X-T-XYZ-008) PILOT DEVIATIONS. Although briefings were held on the proper method to document pilot deviations, a review of the facility's FAA Forms **7230-4** revealed that the initials of the person(s) notified of the situation were not consistently entered (Specific reference).

(2) (9X-T-XYZ-009-H) INTERNAL EVALUATIONS. The ATM and hub manager agreed that internal evaluations were to be accomplished by **XYZ** personnel on an annual basis. The ATM provided the evaluation team with a copy of the facility's internal evaluation. A review of the document revealed that it did not conform to the format in Order **7010.1**, Air Traffic Evaluations, Appendix **2**. The report was not in memorandum form and it did not contain problem control numbers (Specific reference).

NOTE: INTERNAL EVALUATIONS was closed during the response process and reopened during this evaluation.

d. **Administration**. Three items were identified.

(1) (9X-T-XYZ-011) FAA FORMS **7230-4**. The facility was briefed on the correct entry format for FAA Form **7230-4**; however, review of the forms showed that the forms still contained extraneous/superfluous entries, and the ATM's initials were missing (Specific reference).

(2) (9X-T-XYZ-012-R) BUILDING LEAKAGE. A review of documentation provided by the facility and the regional office revealed that plans were underway to correct the facility's water leakage problems. Funding was set aside and designated for repairs to the facility. The repair date was established as February **XX, 199X**. The facility and regional office were tracking this item (Specific reference).

(3) (9X-T-XYZ-013) T&A RECORDS. A secure location was designated for storage of the facility's T&A records near the T&A clerk's desk; however, on two **separate occasions** during the evaluation, the file drawer that contained **T&A** records was found open with no one in the office (Specific reference).

NOTE: T&A RECORDS was closed during the response process and reopened during this evaluation.

3. **NEW ITEMS**.

a. **Operations**. One item was identified.

(9X-T-XYZ-014) PHRASEOLOGY. During monitoring sessions, the evaluation team determined that specialists did not use the word "runway" during landing clearances. Additionally, air carrier prefixes were omitted and only the flight numbers were used (Specific reference).

b. **Administration.** One item was identified.

(9X-T-XYZ-015) PREPARATION OF FAA FORMS 7230-10. A review of position logs revealed that employees were writing over previous entries, which rendered the forms unreadable (Specific reference).

4. **SPECIAL EMPHASIS ITEMS.** (If applicable)

(Manager's Signature)

SECTION 2: DESK AUDIT FOLLOWUP EVALUATION REPORT

INFORMATION: **Followup** Evaluation,
City **ATCT (XYZ)**, Your State; November **XX-XX, 199X**
Last Full-Facility Evaluation: February X-X, **199X**

Manager, Air **Traffic** Evaluations and Investigations Staff, **AAT-20**

Manager, Air **Traffic** Division, **XXX-500**

A **followup** evaluation was conducted for **XYZ** via desk audit by the Air Traffic Evaluations and Investigations **Staff, AAT-20**, on November **XX-XX, 199X**. The evaluation consisted of a review of the previous full-facility evaluation report, responses submitted by the ATM to that report, and in-flight evaluation reports conducted since November **199X**. The ATM was debriefed by telephone on the findings on November **XX, 199X**. A total of **XX** problems was identified during the full-facility evaluation. Based on documentation provided by the ATM and the regional office, **XX** problems were closed and X remained open.

1. **CLOSED ITEMS.**

a. **Operations.** Two items were identified.

(1) (9X-T-XYZ-001) TAPE TALKS. The facility developed and implemented an automated tape talk and **OTS** program which identified individuals who were to have those items conducted during a specific month. The program was tested and tracked for 5 months with no discrepancies. As a **management** control, the ATM reviewed the training records of the identified individuals monthly. The evaluation team reviewed the program and validated through training records that the new system ensured that tape talks were conducted at **6-month** intervals.

(2) (9X-T-XYZ-002) DESIGNATING WATCH SUPERVISOR COVERAGE. The ATM briefed all qualified individuals on the requirement to ensure that either a supervisor or **CIC** had to be present in the facility at all times. The ATM tracked this item for 4 months with no discrepancies noted and, as a management control, conducted spot-checks to ensure compliance.

b. **Training.** Two items were identified.

(1) (9X-T-XYZ-004) TRAINING RECORD ENTRIES. All training specialists and supervisors were briefed on how to make proper entries in each section of the FAA Form 3 **120-1**, Training and Proficiency Record. The training staff completed weekly reviews of the records to ensure proper documentation. This was conducted for 3 months with no discrepancies identified. As a **managment** control, monthly spot checks were conducted by the **QATS** to ensure compliance.

(2) (9X-T-XYZ-005) **SUPPLEMENTAL TRAINING**. The ATM briefed the **QATS** on the requirement to ensure that changes to directives were briefed prior to the effective dates. The **QATS** developed and tracked a suspense system to ensure that all change were briefed during the monthly training session prior to the effective date of the change. The **ATM** reviewed **FAA Forms 3120-1** to ensure training was documented. Sample copies of applicable page entries to Forms **3120-1** were sent to **AAT** for review. Order changes were documented as briefed prior to the effective date of the change.

c. **Quality Control**. Two items were identified.

(1)(9X-T-XYZ-006) **QUALITY ASSURANCE(QA) DIRECTIVE**. The facility revised the **QA** directive effective July **X, 199X**. The new directive included specific responsibilities to ensure that proper corrective action was taken when deficiencies were identified. As a management control, the **QATS** reviewed the directive annually to ensure currency. Additionally, the facility complied with the requirement to perform internal evaluations annually within 1 year of the last full-facility evaluation conducted by **AAT**.

(2) (9X-T-XYZ-007) **EVALUATION OF OJT PROGRAM**. The ATM briefed the **QATS** on the requirement to conduct an annual evaluation of the **OJT** program. The **QATS** selected August as the month to conduct the **OJT** program evaluation and furnished the ATM with a written copy of the evaluation report. As a management control, the **August** date was added to the annual training schedule.

d. **Administration**. One item was identified.

(9X-T-XYZ-010) **REFERENCE FILES AND POSITION BINDERS**. The ATM designated the **QATS** with the responsibility to ensure facility position binders were accurate and contained current material. The **QATS** established a program whereby each position binder was checked monthly to ensure currency. As a management control, these items have been added to the internal evaluation checklist. A tracking sheet, maintained by the **QATS**, was provided to the evaluation team for review. No discrepancies were identified. Charts included in the position binders had suspense dates to validate their currency.

2. **OPEN ITEMS**.

a. **Operations**. One item was identified.

(9X-T-XYZ-003) **POINT-OUT FORMAT**. Point-out format was closed by **AAT** during the response process based upon documentation provided by the facility. Through a review of recordings requested by **AAT** personnel since the last M-facility evaluation, the evaluation team determined that point-outs did not contain the aircraft position or identification (Specific reference).

b. **Quality Control**. Two items were identified.

(1) (9X-T-XYZ-008) **PILOT DEVIATIONS**. Although briefings were held on the proper method to document pilot deviations, a review of the facility's **FAA Forms 7230-4** revealed that the initials of the person(s) notified of the situation were not consistently entered (Specific reference).

(2) (9X-T-XYZ-009-H) **INTERNAL EVALUATIONS**. The **ATM** and hub manager agreed that internal evaluations were to be accomplished by **XYZ** personnel on an annual basis. The **ATM** provided the evaluation team with a copy of the facility's internal evaluation by mail. A review of the document revealed that it did not conform to the format in Order **7010.1**, Air **Traffic** Evaluations, Appendix **2**. The report was not in memorandum format and problems did not contain control numbers (Specific reference).

NOTE: **INTERNAL EVALUATIONS** was closed during the response process and reopened during the **followup** evaluation.

c. **Administration**. Two items were identified.

(1) (9X-T-XYZ-011) **FAA FORMS 7230-4**. The facility was briefed on the correct entry format for **FAA Form 7230-4**, however, review of the forms showed that the forms still contained extraneous/superfluous entries, and the **ATM**'s initials were missing (Specific reference).

(2) (9X-T-XYZ-012-R) **BUILDING LEAKAGE**. A review of documentation provided by the facility and the regional office revealed that plans were underway to correct the facility's water leakage problems. Funding was set aside and designated for repairs to the facility. The repair date was established as February **XX, 199X**. The facility and regional office were tracking this item (Specific reference).

3. ~~**SPECIAL EMPHASIS ITEMS**~~. (If applicable)

(Manager's Signature)

APPENDIX 4. EVALUATION RESPONSE FORMAT

EVALUATION RESPONSE

INFORMATION: Second Response to Full-Facility Evaluation;
Your City **ATCT (XYZ)**, Your State;
February X-X, 199X

Air **Traffic** Manager, Your City **ATCT**

Manager, Air **Traffic** Division, **XXX-500**

The following actions were taken in response to each problem identified during the subject **evaluation**.

1. OPERATIONS.

a. (9X-T-XYZ-001) TAPE TALKS.

CORRECTIVE ACTION. Area supervisors were briefed on the requirement to conduct tape talks semiannually. A program was established which required the ATM to notify the appropriate supervisor of upcoming tape talks not later than **30** days prior to the due date.

FOLLOWUP ACTION. The training specialist tracked the program and provided the manager with weekly updates on those tape talks that were completed during that week. Additionally, a weekly review of the tape talk program revealed that over the last **60** days tape talks were conducted and documented properly.

MANAGEMENT CONTROL. The training specialist tracks the tape talk program and provides the ATM with monthly updates on the program. The ATM conducts spot checks monthly to validate the tracking system.

We consider this item closed.

b. (9X-T-XYZ-002) DESIGNATING WATCH SUPERVISOR COVERAGE.

Closed in response &ted **XXXXXX XX,199X**.

c. (9X-T-XYZ-003) POINT-OUT PROCEDURES.

CORRECTIVE ACTION. All specialists were briefed on proper point-out procedures. This item was identified for special emphasis during tape talk reviews and reported to the ATM.

FOLLOWUP ACTION. Spot-checks by the AS's indicate that correct point-out procedures were not being followed in all cases

MANAGEMENT CONTROL. Pending.

We consider this item open.

2. TRAINING.

a. (9X-T-XYZ-004) TRAINING RECORD ENTRIES.

CORRECTIVE ACTION. Facility personnel were briefed on the requirement to ensure training items were initialed using operating **initials** within the **30-day** requirement. Additionally, **the training staff was** briefed on ensuring supplemental and remedial training was documented properly.

FOLLOWUP ACTION. The training staff established a program to conduct biweekly checks of training records to ensure they were initialed within the **30-day** requirement using operating initials. Spot-checks revealed minor discrepancies in supplemental training. There were no remedial training entries to review.

MANAGEMENT CONTROL. The training **staff** continues to **conduct** biweekly reviews of the training records and provides the ATM with status reports.

We consider this item open.

b. (9X-T-XYZ-005) SUPPLEMENTAL TRAINING. Pending.

We consider this item open.

3. QUALITY CONTROL.

a. (9X-T-XYZ-006) QUALITY ASSURANCE(QA) DIRECTIVE.

Closed in the response &ted **XXXXXXXX XX, 199X.**

b. (9X-T-XYZ-007) EVALUATION OF THE OJT PROGRAM. Pending.

We consider this item open.

c. (9X-T-XYZ-008) PILOT DEVIATIONS.

CORRECTIVE ACTION. All facility personnel were briefed on the requirement to enter the initials on the FAA Form **7230-4** of the individual notified of a pilot deviation. **Refresher** training was conducted and administered to specialists quarterly since the last full-facility evaluation.

FOLLOWUP ACTION. The **QATS** was tasked with reviewing FAA Forms **7230-4** daily prior to the ATM's review. The only pilot deviation reported since the last **AAT** evaluation was documented properly.

MANAGEMENT CONTROL. The **QATS** reviews FAA Forms **7230-4** for initials whenever a pilot deviation occurs. Information on how to document pilot deviations was added to the annual training **program.**

We consider this item closed.

d. (9X-T-XYZ-009-H) INTERNAL EVALUATION. Pending

We consider this item open.

4. ADMINISTRATION.

- a. **(9X-T-XYZ-010) REFERENCE FILES AND POSITION. BINDERS.** Pending.

We consider this item open.

- b. **(9X-T-XYZ-011) FAA FORMS 7230-4.** Pending.

We consider this item open.

- c. **(9X-T-XYZ-12-R) BUILDING LEAKAGE.** Pending

We consider this item open.

- d. **(9X-T-XYZ-013) TIME AND ATTENDANCE (T&A) RECORDS.**

CORRECTIVE ACTION. A secure location was identified near the **T&A clerk's desk** for storage of **T&A** records. The files were transferred immediately.

FOLLOWUP ACTION. This item was tracked for a **3-month timeframe** to ensure the **T&A** records were secured daily. No discrepancies were noted.

MANAGEMENT CONTROL. None required.

We consider this item closed.

(Signature of Facility Manager)

APPENDIX 5. SPECIAL EMPHASIS ITEMS

Special Emphasis Items

A5-1-1 (and A5-1-2)

SPECIAL EMPHASIS ITEMS

The Air **Traffic** Evaluations and Investigations **Staff** requests special emphasis items (**SEI**) from all of the Air Traffic program offices each quarter when the evaluation schedule updates are distributed. In response, organizations may request that specific items generic for all facilities scheduled for evaluations during a designated quarter be assessed, or that certain site-specific items be assessed. Based on the response received, **AAT-20** will formulate a list each quarter of **SEI's** to be assessed during the next quarter. The list will be distributed to each of the headquarters evaluation branches and the **RATD's**. There may be time-critical items that will be distributed expeditiously on a case-by-case basis.

The list shall contain the requested item, supporting documentation and/or regulation that defines the requirement (whenever appropriate), the effective date for assessment, and the cancellation date for assessment. No special emphasis item shall remain in effect for more than 6 months without **AAT** approval.

Special emphasis items will appear in the report in a separate section titled "Special Emphasis Items." Evaluators shall comment on all applicable **SEI's** in full-facility and **followup** evaluation reports. This section will appear in both the evaluation report and the executive summary.

AAT evaluation branches shall provide a quarterly report of special emphasis **findings** to **AAT-20** no later than **10** workdays after the end of each quarter. In turn, **AAT-20** will **forward** a summarized report to the **organizations/offices** that requested feedback on the **SEI's**.

RATD's may request **AAT** field branches to evaluate regional **SEI's**. These items shall be submitted to the appropriate **AAT** field branch at least 2 weeks before the beginning of a new quarter. The basic requirements as described above shall apply. These regional **SEI's** shall be listed in the appropriate evaluation report. However, **AAT-20** will not provide a summarized report on the results of the **RATD SEI** evaluations.

APPENDIX 6. RESOURCE MANAGEMENT DATA

SECTION 1. METHODS FOR COMPLETING RESOURCE MANAGEMENT DATA

SECTION 2. RESOURCE MANAGEMENT/STATISTICAL ANALYSIS DATA

SECTION 1. METHODS FOR COMPLETING RESOURCE MANAGEMENT DATA

1. Time-on-Position.

Semiannually, select a particular month that will be used for the survey.

- a. Select 3 days at random to consist of 2 weekdays and 1 weekend day.
- b. At facilities with three or more specialists per **shift**, select three **FPL's** on a day shift and three **FPL's** on an evening shift to audit as below. Do not include midnight shifts in the audit.
 - (1) ARTCC's--Each area.
 - (2) ATCT's/TRACON's/RAPCON's--Cab and/or radar room functions.
 - (3) AFSS's/FSS's--Station functions.
- c. At facilities with less than three specialists per shift, select all personnel assigned to the shift.
- d. If alternative work schedules (**AWS**) are in effect at the facility, select individuals who worked **8/9/10** hour shifts, as appropriate. A separate TOP study is required for each type of **AWS** shift worked. Ensure that the personnel selected for this study were employees who did not take leave during the **shift** and were not on extended non-position duty time such as familiarization travel or details.
- e. Determine average TOP for day and evening shifts and a combined average TOP **from** FAA Forms **7230-10**, Position Logs, or an authorized facsimile.

2. Survey of Training Phases.

Each January, survey the following for each individual who obtained **FPL/facility rated** status during the previous calendar year:

- a. Elapsed months/weeks **from EOD** in the facility until beginning the **first** training phase.
- b. Determine average time in years/months/weeks **from EOD** for a developmental to attain **FPL/facility** rated certification in the following categories:
 - (1) Personnel direct **from** the FAA Academy; and
 - (2) Personnel transferring **from** other facilities.

3. Overtime Allocation/Usage.

Quarterly, record the amount of overtime that was:

- a. Requested for the last four fiscal quarters;
- b. Allocated by the division/hub;
- c. Actually used for the same period; and
- d. Annotate the approving authority for any amount used over and above that which was allocated.

4. Annual/Sick Leave Usage.

Annually, using the Leave Report (SYS CTL: 035), **determine the amount and percentage of annual/sick leave earned/used** during the previous full calendar year and current calendar year to date by facility personnel.

5. Liaison and Familiarization Travel.

Each January, review Order **7210.3**, Facility Operation and Administration, **Chapter 7**; Order **1350.15**, Records Organization, Transfer, and Destruction Standards; and available **FAA Forms 7230-4**, Daily Record of Facility Operation, to assist in **determining** the following for the previous calendar year:

a. The number of trips **taken**:

(1) On duty time; and

(2) During **nonduty** time.

b. Number of trip reports submitted after 1 week following return to duty.

c. Number of trips not logged on FAA Form **7230-4** or an approved automated daily Record of Facility Operation; and

d. Methods used for the security and control of FAA Form **7000-5**, Request for Access to Aircraft or Free Transportation.

6. OJT Premium Pay. *(Not applicable to AFSS/FSS)*

Semiannually select **OJTI's** from each team or facility as appropriate and apply the following guidelines:

a. Select a specific pay period from FAA Forms **7230-4** and **7230-10**.

b. From the FAA Form **7230-10**, note the total time the instructor provided **OJT** for each day surveyed.

c. Refer to personnel or other facility records, and note the total time that the **OJTI** claimed and the total time recorded for code **77** premium pay on that day. **All** times in items **8b** and **8c** should match exactly.

d. Review associated T&A reports for the same period and verify that **OJTI** times entered on the T&A were the same as in items **8b** and **8c** above.

e. Utilize the data above, compare the daily total with the appropriate FAA Form **3120-25**, **OJT Instruction/Evaluation Report**, for the same day. The time(s) indicated should be the same.

7. Operational Currency. *(Not applicable AFSS/FSS)*

a. Semiannually, select a particular month to be used to determine the operational currency of the following:

(1) Area Supervisors;

(2) **Staff** personnel receiving **1.6** currency premium pay; and

(3) **TMS/TMC's**

b. Record:

- (1) The date(s);
- (2) Employees' operating initials;
- (3) Actual operation positions worked; include position identifiers;
- (4) The actual time signed on/off and/or total TOP in minutes/hours for each sign-on/off entry;
- (5) By category, numbers of individuals in items a (1), (2), and (3) above that did not meet currency; and
- (6) In those cases where **individuals** were not current, the dates recertified.

8. OJT TOP.

Semiannually select the appropriate number of **developmentals** to determine the amount of **OJT being** accomplished. Apply the following guidelines:

- a. Select a specific month for the survey;
- b. Record the date, employees initials, positions worked, and amount of **OJT** time on FAA Form **7230-10** (or facsimile/Model 1), and FAA Forms 3 **120-25/26** (**OJT** Instruction/Evaluation Report); and
- c. Record the total **OJT** time for each workweek and a monthly total.

NOTE: The daily **OJT** time on the Position Log should match that documented on the FAA Form 3 **120-25/26**.

9. TRAFFIC COUNT. (*Only item which is applicable to **FCT's***)

Complete as described in part 9 of the following Resource Management/Statistical Analysis Data worksheet.

SECTION 2. RESOURCE MANAGEMENT/STATISTICAL ANALYSIS DATA

1. TIME-ON-POSITION (TOP).

The last facility conducted survey revealed an average TOP:

8-hour shift _____ hours _____ minutes

9-hour shift _____ hours _____ minutes

10-hour shift _____ hours _____ minutes

2. SURVEY OF TRAINING PHASES.

The latest facility review of training phases for those employees attaining **FPL** status during **CY** revealed:

a. An average of _____ months and _____ weeks from facility **EOD** until beginning the **first** training phase.

b. The average times to reach **FPL** status: _____ years _____ months _____ weeks

3. OVERTIME ALLOCATION/USAGE.

The following is the facility's requested, allocated, and expended overtime funds for the four quarters immediately preceding the current quarter. Please annotate the approving authority for exceeding the allocated figure in the space immediately to the right of the USED figure.

QUARTER	REQUESTED	ALLOCATED	USED	APPROVAL
FY 19__				
FY 19__				
FY 19__				
FY 19__				

4. ANNUAL/SICK LEAVE USAGE.

Please list leave data in the blank spaces below for the previous calendar year and the current calendar year.

CY__		CY__	
Annual Earned		Annual Earned	
Annual Used		Annual Used	
Sick Earned		Sick Earned	
Sick Used		Sick Used	

5. LIAISON AND FAMILIARIZATION TRAVEL.

Please list the following data **from** the facility's last review of the liaison and familiarization program.

- a. The number of trips taken: _____
 - (1) Duty: _____
 - (2) Nonduty: _____
- b. The number of **trips** not entered on the FAA Form **7230-4**, or an approved automated daily record of facility operation: _____
- c. The number of trip reports submitted after 1 week following return to duty: _____
- d. Briefly state the facility's method for the security and control of FAA Forms **7000-5**. Include in this statement each facility position authorized as approving authority.

6. OJT PREMIUM PAY. (Not applicable to **AFSS/FSS)**

From the last facility semiannual comparison of position sign-on/off logs (FAA Forms **7230-10** or an approved automated method), personnel sign-on/off logs, **OJT** Instruction/Evaluation Reports (FAA Forms **3120-25**), and facility **T&A** records, please list:

- a. The number of verifications completed:
- b. Of the number entered in **6a**, the number of overpayments: _____
- c. Of the number entered in **6a**, the number of underpayments: _____

7. OPERATIONAL CURRENCY. (Not applicable to **AFSS/FSS)**

From the last semiannual review of operation currency, please provide the following information:

	A	B	C
Area Supervisors (AS):	_____		
Personnel receiving 1.6% premium:	_____		
Staff personnel requiring currency:	_____		
TMS/TCM's:	_____		

NOTES: A = Total number at the facility.
 B = Number of employees reviewed.
 C = Number of personnel not meeting operational currency.

Include the date recertified:

Area Supervisors: _____
 Receiving 1/6% premium: _____
 Staff: _____
 TMS/TMC's: _____

8. OJT TOP.

Review the facility semiannual **OJT** TOP survey and list:

- a. The number of employees surveyed:
- b. The average total time training was received:
 - (1) By week: _____hours_____minutes
 - (2) By month: _____hours_____minutes

NOTE: Use the following guidelines for Items **7-8**:

- a. **ARTCC's/Level V terminals/CERAP's** select a minimum of **25** percent of applicable personnel for these reviews.
- b. All other facilities select all applicable personnel, or seven, whichever is less for the review.

9. TRAFFIC COUNT. *(Only item applicable to FCT's)*

Please list traffic count information in the spaces below for the two previous calendar years:

CY 19____

CY 19____

ORDER

7010.1J

AIR TRAFFIC EVALUATIONS



March 11, 1997

**DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

Distribution: A-W(AT/TO/TA/TR/TX)-3; A-W(SY/BC)-2;
A-X(AT)-3; A-Y(AY)-3; A-FAT-O(STD)
ZAT-464

Initiated By: AAT-20

7010.1J

7010.15

FAA Form 1320-5 (6-80) USE PREVIOUS EDITIONS

AIR TRAFFIC EVALUATIONS

7010.1J

FOREWORD

This order provides standardized procedures for evaluating air traffic operational and administrative functions at the national, regional, and facility level within the Federal Aviation Administration (FAA), including FAA contract towers (FCT), non-federal control towers (NFCT), and, when requested, military air traffic facilities.

A handwritten signature in black ink, appearing to read 'J. David Canoles', written in a cursive style.

J. David Canoles
Manager, Air Traffic Evaluations and Investigations Staff

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CHAPTER 1. INTRODUCTION

SECTION 1. GENERAL

1-1-1 . PURPOSE

This order **provides standardized** procedures for evaluating air **traffic** functions at the national, regional, and facility level within the Federal Aviation Administration (FAA), including FAA contract towers (**FCT**), non-federal control towers (**NFCT**), and, when requested, military air **traffic** facilities.

1-1-2. DISTRIBUTION

This order is distributed to the **branch** level in Washington **headquarters**, regional air **traffic** offices and the FAA Academy; to the division level in the Office of System Safety; to the Office of Business Information and Consultation; all air **traffic** field offices and facilities; and all non-Federal/FAA contract tower operators/companies.

1-1-3. CANCELLATION

Order **7010.1H**, Air **Traffic** Evaluations, dated September 1, 1994, is canceled.

1-1-4. EFFECTIVE DATE

This order is effective May 1, 1997.

1-1-5. EXPLANATION OF CHANGES This revision contains the following changes:

Significant changes to the basic order will be published and included in this paragraph. It is advisable to retain the paragraph throughout the duration of the basic order. All **paragraphs** in Order **7010.1 J** have been renumbered with a new numbering sequence. The following changes **are** listed with the old paragraph labeled (Old) first followed by the new paragraph number sequence labeled (New). The identification of **7010.1I** (Capital I) was skipped to avoid **confusion** with the number one(1).

a. (Old) None (New) **1-1-6. DEFINITIONS**. Adds definitions to basic terms used in order.

b. (Old) **2-1.** and **2-2.** (New) **2-1-1. TYPES OF EVALUATIONS**. Incorporates categories of evaluations

into types of evaluations and deletes non-federal control tower (**NFCT**) as a **separate** type. Authorizes the Director of Air **Traffic** (**AAT-1**) and the Manager, Air **Traffic** Evaluations and Investigations **Staff** (**AAT-20**) to extend the time between full-facility evaluations (**FFE**) to 3 years. Other changes are editorial.

c. (Old) **3-1.** and **3-2.** (New) **3-1-1. RESPONSIBILITIES**. Quality Assurance Division responsibilities are incorporated into Evaluations Staff responsibilities. **Reduces the** evaluation planning schedule time requirement from 2 years to 6 months. **AAT-1** or **AAT-20** may authorize the conduct of an evaluation with minimum notification. Requirements in Order **1800.2**, Evaluation and Appraisal of Agency Programs, are no longer applicable to **AAT** and have been deleted. Other changes are editorial.

d. (Old) **3-3.** (New) **3-2-1. RESPONSIBILITIES**. Moves guidance regarding evaluation responses to the newly created Chapter **6**. Clarifies response cycle intervals. Other changes are editorial.

e. (Old) **3-4.** (New) **3-3-1. RESPONSIBILITIES**. See **subparagraph d** above. Also adds requirement for air **traffic** divisions (**ATD**) to retain in-flight/preflight evaluations requiring responses for 1 year and to provide personnel to assist in evaluations when resources permit.

f. (Old) **3-5.** (New) **3-4-1. RESPONSIBILITIES**. Clarifies response cycle intervals for hub facilities.

g. (Old) **3-6.** (New) **3-5-1. RESPONSIBILITIES**. See **subparagraph d** above.

h. (Old) **3-7.** (New) **3-6-1. RESPONSIBILITIES**. See **subparagraph d** above. Also, where possible, FAA contract towers (**FCT**) air **traffic** manager (ATM) responsibilities are aligned with FAA ATM responsibilities.

i. (Old) **3-8.** (New) **3-7-1. RESPONSIBILITIES**. Deletes **NFCT** responsibilities and makes reference to National Proposed Rule Making (**NPRM**) regarding **NFCT's** and the **NFCT** ATM responsibilities.

j. (Old) **4-1.** (New) **4-1-1.** PREPARATION AND NOTIFICATION. Changes notification requirements. Adds note that authorizes evaluation activity with minimum notification. Other changes are editorial.

k. (Old) **4-2.** (New) **4-1-2.** INBRIEFING. Change is editorial.

l. (Old) **4-3.** (New) **4- 1-3.** CONDUCTING THE EVALUATION. Adds provision for regional participation. Adds option to interview employee participation group (**EPG**) representatives. Incorporates **3-year** evaluation cycle retention requirements.

m. (Old) **4-5.** (New) **4-1-5.** OUTBRIEFING. Change is editorial.

n. (Old) **4-7.** (New) **4-2-1.** PREPARATION AND NOTIFICATION. See subparagraph j above.

o. (Old) **4-8.** (New) **4-2-2.** INBRIEFING. Change is editorial.

p. (Old) **4-9.** (New) **4-2-3.** CONDUCTING THE EVALUATION. Deletes reference to items that were not observed. Clarifies new problem identification during **followup(FUE)** evaluations.

q. (Old) **4-11.** (New) **4-2-5.** OUTBRIEFING. Change is editorial.

r. (Old) **4-12.** (New) **4-3-1.** PREPARATION AND NOTIFICATION. See subparagraph j above.

s. (Old) **4-13.** (New) **4-3-2.** INBRIEFING. Change is editorial.

t. (Old) **4-14.** (New) **4-3-3.** CONDUCTING THE EVALUATION. Change is editorial.

u. (Old) **4-15.** (New) **4-3-4.** DAILY BRIEFING. Clarifies daily **briefing** responsibilities.

v. (Old) **4-16.** (New) **4-3-5.** OUTBRIEFING. Change is editorial.

w. (Old) **4-18.** and **4-23.** (New) **4-4-1.** PREPARATION AND NOTIFICATION. Combines regional and headquarters evaluation activities.

x. (Old) **4-19.** and **4-24.** (New) **4-4-2.** INBRIEFING. Combines regional and headquarters evaluation activities. Other change is editorial.

y. (Old) **4-20.** and **4-25.** (New) **4-4-3.** CONDUCTING THE EVALUATION. Changes description of regional and headquarters evaluation activities. Other changes are editorial.

z. (Old) **4-21.** and **4-26.** (New) **4-4-4.** DAILY BRIEFING. See subparagraph w above.

aa. (Old) **4-22.** and **4-27.** (New). **4-4-5.** OUTBRIEFING. See subparagraph w above.

bb. (Old) None (New) **4-4-6.** EVALUATION CRITIQUE. Adds requirement to use an evaluation critique for headquarters air **traffic** division (**HATD**) and regional air **traffic** division (**RATD**) evaluations.

cc. (Old) **4-28.** (New) **4-5-1.** PREPARATION AND NOTIFICATION. Change is editorial.

dd. (Old) **4-29.** (New) **4-5-2.** CONDUCTING THE EVALUATION. Change is editorial.

ee. (Old) None (New) **4-5-3.** EVALUATION CRITIQUE. Adds requirement to use an evaluation critique for special evaluations.

ff. (Old) **4-30.** (New) **4-6-1.** CONDUCTING THE EVALUATION. Clarifies FM/military joint evaluation responsibilities.

gg. (Old) **4-31.** (New) None. COORDINATION AND CONDUCT. Deletes redundant paragraph.

hh. (Old) **4-32.** (New) **4-7-1.** CONDUCTING IN-FLIGHT/PREFLIGHT EVALUATIONS. Refers the reader to associated procedures contained in separate directive.

ii. (Old) **5-1.** (New) **5-1-1.** COMPLETION. Change is editorial.

jj. (Old) **5-2** and **5-27.** (New) **5-2-1.** FUNCTIONAL AREAS. Change is editorial.

kk. (Old) 5-3, 5-4, and 5-28. (New) 5-2-2. ITEM CLASSIFICATION. Combines **FCT** evaluation requirements with those for an FAA facility. Changes the term "rating index" to "functional index" (**FI**). Expands the definition of "satisfactory" and "informational". Clarifies the meaning of an observed event. Clarifies the meaning of repeat problems. Adds the provision to include off-checklist problems in the calculation of functional indices. Incorporates problem control number paragraph into item classification paragraph. Other changes are editorial.

ll. (Old) 5-5. (New) 5-2-3. FUNCTIONAL INDICES (**FI**). Deletes conformity index requirements. Explains functional index calculations.

mm. (Old) 5-6 and 5-29. (New) 5-2-4. FORMAT. Deletes conformity index calculation attachment. Other changes are editorial.

m. (Old) 5-7 and 5-30. (New) 5-2-5. DISTRIBUTION OF REPORT. Adds report distribution requirement to appropriate bargaining unit representative. Adds report distribution requirement for **FCT** evaluations.

oo. (Old) 5-8. (New) 5-3-1. ITEM CLASSIFICATION. Clarifies definitions of closed, open, and new items. Changes the term "initial action" to the term "corrective action". Other changes are editorial.

pp. (Old) 5-9. (New) 5-3-2. FORMAT. Change is editorial.

qq. (Old) 5-10. (New) 5-3-3. DISTRIBUTION OF REPORT. See subparagraph **m** above.

rr. (Old) 5-11. (New) 5-4-1. SERVICES EVALUATED. Change is editorial.

ss. (Old) 5-13. (New) 5-4-3. FORMAT. Change is editorial.

tt. (Old) 5-14. (New) 5-4-4. DISTRIBUTION. Change is editorial.

uu. (Old) 5-15., 5-16., 5-17., 5-19., 5-20., and 5-21. (New) 5-5-1. EVALUATED AREAS. Combines regional and headquarters evaluation activities and report formats. Other changes are editorial.

vv. (Old) 5-18. and 5-22. (New) 5-5-2. DISTRIBUTION OF REPORT. Changes report distribution requirements.

ww. (Old) 5-23. (New) 5-6-1. EVALUATED AREAS. Change is editorial.

xx. (Old) 5-24. (New) 5-6-2. DISTRIBUTION OF REPORT. Change is editorial.

yy. (Old) 5-25. and 5-26. (New) 5-7-1. REPORT PREPARATION. See subparagraph **ff** above.

zz. (Old) 5-31. and 5-32. (New) 5-8-1. ITEM CLASSIFICATION. Clarifies report requirements.

aaa. (Old) 5-33. (New) 5-8-2. FORMAT. Change is editorial.

bbb. (Old) None. (New) 6-1-1. FORMAT. Clarifies three-step closure process and associated response requirements.

ccc. Appendix 1, Evaluation Checklists. Incorporates Automated Flight Service Station (**AFSS**), terminal, and **enroute** checklists which were effective March 21, 1997. Incorporates new Combined Center/Radar Approach Control (**CERAP**) checklist.

ddd. Appendix 2, Full-Facility Report Formats. Editorial changes in report formats.

eee. Appendix 3, Followup Report Format. See subparagraph **ddd** above.

fff. Appendix 4, Evaluation Response. See subparagraph **ddd** above. Also adds a phrase regarding previously closed problems.

ggg. Appendix 5, Special Emphasis Items. Changes are editorial.

1-1-6. DEFINITIONS

a. Checklist. The **AFSS/FSS**, terminal, **enroute**, and **CERAP** checklists contained in Appendix 1. Checklists are used in the conduct of W-facility evaluations.

b. Commendable. Checklist or off-checklist items that are accomplished in a manner which demonstrates a

commitment to excellence in performance, programs, or quality of service.

c. Corrective action. Any action taken to correct a problem identified in an evaluation.

d. Critique. A manager's assessment and recommendations regarding the evaluation process and evaluator's or evaluation team's performance during an evaluation.

e. Desk audit. A **followup** evaluation (**FUE**) where an evaluator does not visit the facility. It may include telephone interviews and/or tape and documentation submissions to the Air Traffic Service (**AAT**).

f. FAA contract tower (FCT). A visual flight rules (**VFR**) air traffic control tower (**ATCT**) providing air traffic control (**ATC**) service under **contract** with the FAA.

g. Followup action. Measures **taken** to ensure that **corrective** actions were effective and that the problem has not **recurred**.

h. Followup evaluation (FUE). **FUE's** are conducted to ensure that problems identified during **FFE's** are **corrected**.

i. Full-facility evaluation (FFE). **FFE's** are assessments of a facility's overall performance in operations, training, quality control, **administration**, and areas of special emphasis.

j. Functional area. One of four areas evaluated during a **FFE**. The four functional areas are operations, training, quality control, and administration.

k. Functional index (FI). A numerical percentage that **represents** the facility's compliance with items evaluated in each functional area.

l. In-flight/preflight evaluation. **In-flight/preflight** evaluations are an assessment of the services provided by air traffic facilities. They are conducted by authorized

evaluators, quality assurance specialists, and other authorized headquarters, and division personnel using air carrier, agency, military, or rental aircraft, and by telephone or in person.

m. Informational. Items that **are** of interest to offices receiving an evaluation report,

n. Management control. A process or procedure implemented to prevent problem recurrence.

o. Not applicable (N/A). Checklist items that do not apply to the facility being evaluated.

p. Not observed (N/O). Checklist items that apply to the facility, but which could not be **observed** during a **FFE**.

q. Non-federal control tower (NFCT). An **ATCT** that is **operated** by a company or municipality and not funded by the FAA.

r. Off-checklist. Assessed Items that are not specifically identified on a checklist. These items can be rated as commendable, informational, or problem.

s. Problem. Items identified that are in contradiction to national, regional, hub, or facility directives. **Also**, an items not governed by specific **references**, but which clearly **affect** performance, programs, quality of service, or efficiency.

t. Questionable. An occurrence or condition, on an in-flight/preflight evaluation report, which may **warrant further** investigation.

u. Repeat problem. Repeat problems are problems identified during consecutive **AAT FFE's**.

v. Special emphasis items (SEI). Specific items requested by various organizations to be assessed during the evaluation process as prescribed in Appendix 5.

CHAPTER 2. EVALUATIONS

SECTION 1. TYPES OF EVALUATIONS

2-1-1. TYPES OF EVALUATIONS

There are seven types of evaluations:

a. Full-facility evaluations (FFE), conducted either internally or by **AAT**, are assessments of a facility's overall performance in operations, training, quality control, administration, and areas of special emphasis. These evaluations will normally be performed once every 2 years at each air **traffic** facility. **FFE's** shall include, as a minimum, the checklist items identified in Appendix 1. The checklists may be supplemented by headquarters **offices**, regional offices, and field facilities to include additional items pertinent to the facility.

NOTE: The **2-year** interval between **AAT** full-facility evaluations may, at the discretion of **AAT-1** or **AAT-20**, be extended to a maximum of 3 years.

b. Followup evaluations (FUE) are conducted to ensure that problems detected during **FFE's** are **corrected**. **FUE's** shall be conducted through an **onsite** evaluation, desk audit, or a combination of the two. These evaluations will be conducted no earlier than 6 months nor later than 1 year **after** the date of the **FFE** report, or as determined by **AAT-20**.

c. Unscheduled evaluations may be conducted at the discretion of **AAT-1** or **AAT-20**. They may manifest themselves as **FFE's**, **FUE's**, or evaluation of singular issues, e.g., checklist items, special emphasis items, etc.

d. In-flight/preflight evaluations are assessments of the services provided by air **traffic** facilities. They are conducted by authorized **evaluators/quality** assurance specialists and other authorized headquarters and division personnel using air carrier, agency, military, or rental **aircraft**, and by telephone or in person. In-flight evaluations, conducted in agency and rental aircraft, are the primary means of testing the agency's emergency assistance capabilities. These **aircraft** are used to simulate emergency situations such as lost aircraft, low fuel, engine failure, loss of instruments, etc., to evaluate the facility's proficiency in handling the simulated emergency. In-flight evaluations include assessment of the application of programs, procedures, communications, and flight assistance. Each **facility** should be evaluated twice a year.

e. Headquarters/Regional Air Traffic Division (HATD/RATD) evaluations shall encompass all division activities. These evaluations shall be conducted at the discretion of **AAT-1**.

f. Special evaluations cover specific areas or programs as directed by **AAT-1** or as requested by a headquarters or regional office.

g. FAA/military joint evaluations shall be conducted in accordance with the procedures contained in the latest edition of Order 7610.4, Special Military Operations.

CHAPTER 3. RESPONSIBILITIES

SECTION 1. AIR TRAFFIC EVALUATIONS AND INVESTIGATIONS STAFF, AAT-20

3-1-1. RESPONSIBILITIES

a. Prepare and distribute the following to **AAT-1**; Washington **headquarters Air Traffic** program directors; and **all RATD's**:

(1) A **6-month** planning schedule of all evaluation activities.

(2) A revised quarterly schedule of all evaluation activities at least **30** days prior to the beginning of each quarter.

NOTE: At the discretion of **AAT-1** or **AAT-20**, **AAT** may conduct an evaluation **with** minimum notification.

b. Conduct evaluations by area of responsibility identified in Figure **3-1-1** or as directed by **AAT-20**.

NOTE: The Air Traffic Evaluations **Staff (AAT-24)** shall be responsible for evaluations at Anchorage Center (**ZAN**), Anchorage Tower/TRACON (**ANC/A11**), and all Alaskan **region (AAL)** automated flight **service** stations (**AFSS**). The Alaskan Region **ATD (AAL-500)** shall conduct all other **AAL FFE and FUE's within the AAL region**.

c. Ensure that in-flight/preflight evaluations are conducted by **authorized** personnel and in accordance with Chapter 4 of this order, Order **7000.4**, Use of FAA Form **7000-5**, Request for Access to **Aircraft** or Free Transportation, and Order **7010.6**, Air **Traffic** Evaluation Credentials.

d. Upon **request**, provide assistance for problem resolution or service improvements based **upon** the **evaluator's** knowledge of effective programs or procedures used at other facilities or offices.

e. Track the status of all problems identified **in** facility evaluations based on **correspondence** provided by the **AAT-20** branch that conducted the evaluation.

f. Assign action to the appropriate office of primary responsibility (**OPR**) in headquarters when a **headquarters** problem is identified during an evaluation. **AAT-20 personnel** will **extract** the complete details of the problem **from** the evaluation report and those details will be **incorporated** into an action memorandum to the **OPR**. Deadline for initial response to **AAT-20** is **60** days **from** the date the **memorandum** is signed.

g. **Review** the responses received as a result of an evaluation and determine if **appropriate** action was taken to close the problem, or if the problem remains open, review pending action taken by the **office** or facility evaluated. If **AAT concurs with** closure, they will so indicate in the data base and provide closure notification. The **AAT-20 branches** will be notified by **AAT-20** of the action taken. If the **problem** remains open, **AAT** will continue to track the **problem** with the office or **facility** until it is **closed**.

h. Distribute quarterly reports indicating the status of problems identified in facility **evaluations**.

EVALUATION STAFF AREAS OF RESPONSIBILITY



3-1-2



AAT-24



AAT-23



AAT-25



AAT-22

Figure 3-1-1 AAT-20 Areas of Responsibility

SECTION 2. HEADQUARTERS AIR TRAFFIC DIVISION MANAGERS

3-2-1. RESPONSIBILITIES

a. Prepare a written response on action taken to **correct** all problems identified by **AAT** in headquarters air **traffic** division (**HATD**) evaluations. The initial response shall be forwarded for receipt by **AAT-20** no later than **60** days **after** the date of the report. Subsequent responses shall be **forwarded** for receipt by **AAT-20** at **90-day** intervals, the first being no later than **150** days **after** the date of the report. Responses shall be prepared in **accordance** with the procedures **contained** in Chapter **6**.

b. Complete the critique form supplied by the lead evaluator at the exit briefing within **10** workdays following the **HATD** evaluation. Forward the original to **AAT-20**, with a **copy** to the **AAT** branch that was the lead for the evaluation.

c. If designated as the **OPR** for a headquarters problem that was identified during an evaluation at a field facility, prepare a written response describing action taken **to** resolve the problem. The initial response shall be forwarded to **AAT-20** so as to be received no later than **60** days after the date of the report. Subsequent responses shall be **forwarded** for receipt by **AAT** at **90** day intervals, the **first** being no later than **150** days **after** the date of the report. Responses shall be prepared in accordance with the procedures **contained** in Chapter **6**.

SECTION 3. REGIONAL AIR TRAFFIC DIVISION MANAGERS

3-3-1. RESPONSIBILITIES

a. Review the written response from hub and field facility managers addressing the action taken to **correct** all problems identified in **FFE's** and **FUE's**. Prepare a **written** endorsement indicating concurrence or **nonconcurrence** with facility action to **correct** problems. The initial response and endorsement shall be forwarded to the **AAT branch** that was the lead for the evaluation for receipt no later than **60** days after the date of the report. Subsequent responses shall be forwarded for receipt by **AAT** at **90** day intervals, the **first** being no later than **150** days after the date of the report. Responses shall be prepared in accordance with the procedures **contained** in Chapter **6**.

b. For regional problems, prepare a written response **identifying the action taken** to **correct** problems which were identified during **FFE's** and **FUE's** that require regional action/resolution. The initial response shall be forwarded to the appropriate **AAT** branch so as to be received no later than **60** days after the date of the report. Subsequent responses

shall be forwarded so as to be received by **AAT** at **90** day intervals, the first being no later than **150** days after the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter **6**.

c. Review the written response from facility managers on the action taken to address problems or questionable items identified on in-flight/preflight evaluations which require a response. Prepare a written endorsement indicating concurrence or nonconcurrence with facility actions. The original **copy** of the initial response and endorsement shall be **forwarded** to the **AAT branch** having evaluation responsibility for receipt no later than **30** workdays **after** the date of the evaluation report

d. Retain a **copy** of any in-flight/preflight evaluation report that requires a response and a **copy** of the response for 1 year.

e. When resources permit, provide personnel to participate in evaluations.

SECTION 4. AIR TRAFFIC HUB MANAGERS

3-4-1. RESPONSIBILITIES

a. Assist the ATM in the conduct of internal evaluations, the preparation of the facility's quality assurance directive, and the implementation of the facility's quality assurance program.

b. Prepare a written response identifying action taken to correct problems which were identified during FFE's and FUE's that require hub action/resolution. The

initial response shall be forwarded through the RATD to AAT for receipt no later than 60 days after the date of the report. Subsequent responses shall be forwarded for receipt by AAT at 90 day intervals, the first being no later than 150 days after the date of the report. Responses shall be prepared in accordance with the procedures contained in Chapter 6.

c. Forward responses to AAT evaluations received from facilities within the hub to the RATD for receipt no later than 45 days after the date of the evaluation report

SECTION 5. AIR TRAFFIC FACILITY MANAGERS

3-5-1. RESPONSIBILITIES

a. By written directive, establish a program to maintain and **analyze resource** management data according to the methods described in Appendix 6 of this order. This resource management data shall be retained in the facility and made available for review by **AAT evaluators** at the next **FFE**.

b. Conduct an internal **FFE** within 1 year of the most recent **AAT FFE**. While preferred, it is not **mandatory that** an entire facility be **internally** evaluated at one time. Facility managers may elect to evaluate various elements or departments or use various sections of the checklist at **different** times. However, the entire facility shall be included in the evaluation process using the complete checklist in Appendix 1, applicable to the type of facility being evaluated. Hub managers may assist or conduct evaluations at satellite facilities to satisfy this requirement. The report of an internal **FFE** shall be prepared in accordance with the format in Appendix 2, Full-Facility Evaluation Report Format. The internal report shall be made available to the **AAT** evaluators at the next **FFE**.

c. Prepare a written response, in accordance with the procedures in Chapter 6 and the format in Appendix 4, on

action(s) taken to correct all problems identified during internal full-facility, **AAT FFE's**, and **FUE's**. The original copy of the response to problems identified during evaluations conducted by **AAT** evaluators shall be forwarded through the hub to the **RATD** for receipt no later than **45** days **after** the date of the evaluation report. Subsequent responses shall be forwarded for receipt by MT at **90** day **intervals**, the **first** being no later than **150** days **after** the date of the report. Responses to the internal reports **shall be** retained and made available to **AAT** evaluators at the next **FFE**.

d. Prepare a written response to in-flight/preflight evaluations requiring a reply. Forward the original response through the hub to the **RATD**.

e. When resources permit, provide personnel to participate in evaluations.

f. Within **10** workdays following the **AAT FFE**, complete the critique form supplied by the lead evaluator. **Forward** the original to the **AAT** branch that conducted the evaluation and a copy to **AAT-20**.

g. Provide a copy of the **FFE** and **FUE** reports to the bargaining **unit** representative in accordance with negotiated labor agreements.